CAL-ACCESS
USER'S MANUAL

(Frequently Asked Questions)

"How do I …?"

Office of the Secretary of State

Political Reform Division

May 6, 2008 Version*

***For the latest version of *Cal-Access User's Manual*, visit:**

http://cal-access.sos.ca.gov/ (*See* menu on left of page.)

HOW TO FIND OUT ABOUT THE FUNDING OF STATE POLITICAL CAMPAIGNS AND LOBBYING ACTIVITIES

AN OVERVIEW

Most state political campaigns and lobbying individuals and entities are required to file financial information with the Secretary of State online or electronically using a computer. The Secretary of State uses Cal-Access to make that information available free on the Internet.

If you want to see a copy of the financial disclosure document filed online or electronically by a state candidate or committee, log onto the Secretary of State's website at http://cal-access.sos.ca.gov/campaign/ and click on the links provided. Step-by-step instructions are provided in this User's Manual in Section 1, Question 6, beginning on Page 33.

If you want to see a copy of the financial disclosure document filed electronically by a lobbyist, lobbying firm, or lobbyist employer, log onto http://cal-access.sos.ca.gov/Lobbying/ and click on the links provided. This is covered in this User's Manual in Section 2, Question 1, beginning on Page 62.

For obtaining other information about campaign and lobbying finance and Cal-Access, *see* the "Frequently Asked Questions" in the "Table of Contents." This User's Manual can assist you in searching Cal-Access to learn who has made and received state campaign contributions, the amount of the contributions, how the money contributed has been spent, and who has made independent expenditures to support or oppose state candidates and ballot measures. The User's Manual can help you to view information in Cal-Access regarding lobbying financial activity. The User's Manual can also assist filers to file state campaign and lobbying finance information online or electronically using Cal-Access.

If you need assistance with viewing or filing campaign and/or lobbying disclosure information and you can't find the answer in the User's Manual, don't hesitate to use our online form at http://www.sos.ca.gov/cgi-bin/print_form.cgi or call our "Help Desk" at 1-877-745-3453 or 916-653-7283. (To use the online form, click on the link above. That will take you to the "Contact" page. Scroll down to "Political Reform Division" and then click on the "Use our online form" icon.)

Note: This User's Manual is not a substitute for legal advice. For information regarding legal obligations relating to compliance with the Political Reform Act, consult with legal counsel or visit the Fair Political Practices Commission's website at http://www.fppc.ca.gov/.

ABOUT THIS USER'S MANUAL
AN INTRODUCTION

This manual is intended to assist users of Cal-Access in filing campaign and lobbying statements and reports online or electronically and in accessing the data contained in those documents online.

The "Table of Contents," beginning on Page 8, contains a list of "Frequently Asked Questions" with references to pages containing answers.

The manual is divided into three sections. "Section 1," beginning on Page 18, relates to viewing campaign finance and other information. "Section 2," beginning on Page 62, relates to viewing lobbying finance and other information. "Section 3," beginning on Page 82, relates to the online and electronic filing of documents.

The "Glossary" begins on Page 102. The "Table of Statutes and Regulations" begins on Page 121. The "Table of Websites" begins on Page 124. The "Table of Forms" begins on Page 128. The "Topical Index" begins on Page 131.

This is a dynamic document that will be updated with new and revised questions and appropriate answers. For the latest version of the "Cal-Access User's Manual," visit the Cal-Access Home Page at http://cal-access.sos.ca.gov. On that page, click on "User's Manual." (*See* menu on left of page.)

By following the links, you will be taken to the updated version of the "User's Manual" viewable as a unit in PDF. This PDF version can be downloaded or printed for future reference.

The display of the "User's Manual" is in the process of being enhanced to provide for various direct links to particular questions and answers. For example, when the enhancements are complete, you will be able to link from a

question posed in the "Table of Contents" directly to the answer. You will be able to link directly to the "Glossary," "Table of Statutes and Regulations," "Table of Websites," "Table of Forms," or "Topical Index."

You are invited to suggest new questions as well as corrections or revisions to the answers provided. To do so, please use the online form at http://www.sos.ca.gov/cgi-bin/print_form.cgi.

Note: This User's Manual is not a substitute for legal advice. For information regarding compliance with the Political Reform Act, consult with legal counsel and/or visit the Fair Political Practices Commission's website at http://www.fppc.ca.gov/.

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CAL-ACCESS USER'S MANUAL

Section 1

Viewing Campaign Financial and Other Information

Note: This website contains financial information regarding state candidates, state elected officials, state committees (including "major donors"), and state slate mailer organizations that have filed online or electronically with the Secretary of State. Generally, only those who have received political contributions or made reportable expenditures (or received payments if a state slate mailer organization) aggregating $50,000 or more since January 1, 2000, are required to file online or electronically. Others may file online or electronically voluntarily. (You are encouraged to refer to "How to Use This Site" located in the "Resources" section of Cal-Access for useful information. http://cal-access.sos.ca.gov/CalAccessResources/)

1. *Question 1 of Section 1:* How do I find information in Cal-Access about a candidate's or an elected official's campaign finances?

The "Candidates & Elected Officials" campaign finance page is the starting point to find out basic information regarding a state candidate's or state elected official's campaign finances. To obtain this information, do the following:

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. Click on "Candidates & Elected Officials." This will bring up the "Candidates & Elected Officials" page. (http://cal-access.sos.ca.gov/Campaign/Candidates/) Various options will be displayed, but some will already be selected by default. For example, under "Choose a Listing:," "Certified Election Candidates" has been selected by default. Under "Choose an Election," the name of the next state election has been selected by default. Under these default selections, a list of certified candidates for the next state election, if any have been certified, will be displayed.

c. You can make selections other than the default selections. Review the menu options and make your selections by pointing and clicking on the “radio buttons.” Note that several seconds may be required for your selection to be processed and for the information to be displayed. If nothing seems to be happening after you point and click on a selection, wait a few seconds and the request is likely to be processed and the information requested will be displayed.

d. Once you have made your selections, under “Choose a Listing” and “Choose an Election,” the names of candidates or elected officials will appear. If you click on the name of a candidate or elected official whose name is underlined, information about that candidate will be displayed.

e. Once the candidate’s or elected official’s campaign finance information is displayed, you can select the election cycle in which you are interested with respect to that particular candidate or elected official. By default, the current election cycle will ordinarily be selected. To choose a prior election cycle, select “Prior Years.” Prior election cycles will be displayed from which you can make a selection, assuming that they apply to this candidate or elected official.

f. Under “View Information,” “General Information” (the first “radio button)” has been selected by default. Under “General Information,” the following information will be displayed with respect to the candidate or elected official:

(1) Party The political party with which the candidate or elected official is or was affiliated;

(2) Election/Spending Limits The election with which the candidate or elected official is associated along with whether the candidate or elected official accepted the voluntary spending limits;

(3) Races-Office/Election/Results The election contests with which this candidate or elected official has been associated since January 1, 2000, and whether he or she won or lost;

(4) Committees The committee or committees which the candidate or elected official controls or has controlled and basic information about each committee. (The candidate or elected official raises and spends money for campaign purposes through his or her controlled committee or committees.) The basic information about the committee that is displayed includes:

- The committee’s name;

- The identification number assigned by the Secretary of State;

- The current status of the committee (active or terminated);

- Information from the last report filed including the date filed, the reporting period, the total contributions received, the total expenditures made, and ending cash.

By clicking on the committee name, the **committee’s** campaign finance page will be displayed. For more information about interpreting the information displayed on a recipient **committee’s** campaign finance page in Cal-Access, *see* the answer to Question 5 beginning on Page 27. Viewing a committee’s campaign finance page is the way to find information about contributors, expenditures, and other campaign finance data concerning the committee.

g. **Independent Expenditures** — The second “radio button” under “View Information” on the **candidate’s and elected official’s campaign finance page** is “Late Independent Expenditures Affecting This Candidate.” (To find the **candidate’s and elected official’s campaign finance page**, *see* above paragraphs or go to the “Campaign Finance” page. (http://cal-access.sos.ca.gov/campaign/) Click on “Candidates & Elected Officials.” Select the candidate or elected official in whom you are interested.) By clicking on the “Late Independent Expenditures Affecting This Candidate” button, information relative to “independent expenditures” affecting the candidate will be displayed. For more information regarding this selection, including the option of using “Advanced Search” for a wider search and more complete information, *see* the answer to Question 8 beginning on Page 36.

> Note: References in Cal-Access to “late” with respect to contributions or independent expenditures may not refer to contributions made or received or independent expenditures made during the normal late contribution and late independent expenditure periods (within the 16 days prior to an election). (Government Code sections 82036, 82036.5, 84203, and 84204) This is because disclosure of some contributions or independent expenditures online or electronically utilizes multi-purpose Forms 496 and 497 and the disclosed contributions or independent expenditures may relate to transactions occurring other than during the late contribution and late independent expenditure periods. (Government Code sections 84204.5, 85309, and 85500)

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2. *Question 2 of Section 1:* How do I find information in Cal-Access about committees supporting or opposing state ballot measures or propositions that have qualified for the ballot?

The "Propositions & Ballot Measures" campaign finance page is the starting point to find out basic information regarding the campaign finances of a state proposition or state ballot measure **that has qualified for the ballot**. To obtain this information, do the following: (For **proposed** ballot measures that have **not** qualified for the ballot, *see* answer to Question 3 on Page 24.)

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. Click on "Propositions & Ballot Measures." This will bring up the "Propositions & Measures" page. (http://cal-access.sos.ca.gov/Campaign/Measures/) By default, under "Election Cycle," the current election cycle has been selected. It will be followed by a list of measures that have **qualified for the state ballot** for that election or a subsequent election, including the proposition number of each measure if a number has been assigned. If a number has not been assigned, then the title of the measure will be listed. **Note that the list will only include measures that have qualified for the state ballot. Measures that may be attempting to qualify will not be listed here.** (For **proposed** ballot measures that have **not** qualified for the ballot, *see* answer to Question 3 on Page 24.)

c. To obtain more information about state measures that have qualified for the ballot, go to http://www.sos.ca.gov/elections/elections_j.htm.

d. You can obtain information about the campaign financing of measures that qualified for previous state ballots after 1999 by clicking on "Historical" under "Election Cycle." Note that several seconds may be required for your selection to be processed and for the information to be displayed. If nothing seems to happen when you point and click on a selection, wait a few seconds and the request is likely to be processed and the information requested will be displayed.

e. Once a list of the state measures has been displayed, click on the number or title of the measure in which you are interested and the measure's campaign finance page will be displayed. Under "View Information," "General Information" (the first “radio button) has been selected by default. The display will identify those committees, if any, that have been primarily formed to support or oppose the state proposition listed or are otherwise associated with the proposition. By clicking on the name of the committee supporting or opposing the proposition, the committee’s campaign finance page will be displayed. For more information about interpreting the information displayed on a committee’s campaign finance page in Cal-Access, *see* the answer to Question 5 beginning on Page 27.

f. **Independent Expenditures —** The second “radio button” under “View Information” on a proposition’s or measure’s campaign finance page is “Late Independent Expenditures Affecting This Measure.” (To find the proposition’s or measure’s campaign finance page, *see* above paragraphs or go to the “Campaign Finance” page. (http://cal-access.sos.ca.gov/campaign/) Click on “Propositions & Ballot Measures.” Select the proposition or measure in which you are interested.) By clicking on the “Late Independent Expenditures Affecting This Measure” button, information relative to “independent expenditures” affecting the measure will be displayed. For more information regarding this selection, including the option of using “Advanced Search” for a wider search and more complete information, *see* the answer to Question 8 beginning on Page 36.

Note: References in Cal-Access to “late” with respect to contributions or independent expenditures may not refer to contributions made or received or independent expenditures made during the normal late contribution and late independent expenditure periods (within the 16 days prior to an election). (Government Code sections 82036, 82036.5, 84203, and 84204) This is because disclosure of some contributions or independent expenditures online or electronically utilizes multi-purpose Forms 496 and 497 and the disclosed contributions or independent expenditures may relate to transactions occurring other than during the late contribution and late independent expenditure periods. (Government Code sections 84204.5, 85309, and 85500)

3. *Question 3 of Section 1:* How do I find information in Cal-Access about committees supporting or opposing proposed state ballot measures or propositions that have not qualified for the ballot?

Note: This website contains only financial information regarding committees that are supporting or opposing proposed state rather than local measures and have filed online or electronically with the Secretary of State.

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. If the measure has qualified for the state ballot, *see* answer to Question 2 on Page 22. (You may also click on "Propositions & Ballot Measures." Measures that have qualified for the ballot will be listed. Clicking on the applicable links will take you to committees supporting or opposing the measures, if they have been formed.)

c. To obtain more information about proposed state measures that are in circulation, go to http://www.sos.ca.gov/elections/elections_j.htm.

d. If You Know the Committee Name If you know the name of the committee primarily formed to support or oppose the qualification, you may be able to access financial data of the committee by clicking on "Committees, Parties & Major Donors." Select "All" for "Type," the desired "Election Cycle," and the committee in which you are interested from the alphabetized list.

e. If You Know the Identification Number of the Committee If you know the identification number of the primarily formed committee to support or oppose the qualification of the proposed measure, you can access the committee's data by going to "Cal-Access Search" in the upper left-hand corner of any Cal-Access page, entering the number and clicking on "GO." It may take several seconds to process the request.

f. If You *Don't Know* the Name or Identification Number of the Committee If you don't know the name or identification number of the committee that may be supporting or opposing the proposed measure, you may be able to identify the committee and access its data by going to "Cal-Access Search" in the upper left-hand corner of any Cal-Access page. Enter a key word that might be in the name of the committee and click on "GO." It may take several seconds to process the request.

For example, suppose you are interested in finding committees that are supporting or opposing a proposed measure dealing with "marriage." By entering "marriage" in the "Cal-Access Search" in the upper left-hand corner and clicking on "GO," Cal-Access will display all of the committees that include in their names the word "marriage." Scroll down the list and select the committee to obtain information regarding that committee. *See* the answer to Question 7 on Page 35 for more information regarding "Cal-Access Search."

g. "Advanced Search" Contributions and expenditures may also be viewed by utilizing "Advanced Search." *See* the answer to Question 8 on Page 36.

4. *Question 4 of Section 1:* How do I find and interpret information in Cal-Access relative to committees, political parties, major donors, and slate mailers?

The "Committees, Parties, Major Donors & Slate Mailers" campaign finance page is the starting point to find out basic campaign financial information regarding state committees, political parties, major donors and slate mailer organizations. To obtain this information, do the following:

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. Click on "Committees, Parties. Major Donors & Slate Mailers." This will bring up the "Committees, Parties, Major Donors & Slate Mailers" page. (http://cal-access.sos.ca.gov/Campaign/Committees/)) By default, under "Type," "All" has been selected. By default, the current election cycle has been selected. It will be followed by an alphabetized list of all committees, including political party committees, major donors, and slate mailer organizations. The list will include the name, type, and filer identification number of the entity.

c. You can choose categories other than those selected by default. For example, under "Type," instead of "All," you can select "Major Donors," "Political Parties, "Small Contributor Committees," or "Slate Mailers." Under "Election Cycle," by selecting "Historical," you can select any election cycle since 1999. (Since electronic filing did not begin until January 1, 2000, no electronic reports were filed in 1999.) Note that several seconds may be required for your selection to be processed and for the information to be displayed. If nothing seems to happen when you point and click on a selection, wait a few seconds and the request is likely to be processed and the requested information will be displayed.

d. An alphabetized list of committees will be displayed of the type and for the election cycle selected. By clicking on the name of the entity whose name is underlined (including political party committees, major donors, and slate mailer organizations), more campaign finance information can be found regarding that entity. For more information about interpreting the material displayed on a recipient committee's campaign finance page in Cal-Access, *see* the answer to Question 5 beginning on Page 27.

5. *Question 5 of Section 1:* How do I interpret information in Cal-Access regarding a state recipient committee's campaign finance page?

A state recipient committee's campaign finance page can be found by following the links under "Candidates & Elected Officials," "Propositions & Ballot Measures," or "Committees, Parties, Major Donors & Slate Mailers" on the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach the "Campaign Finance" page from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

The committee's initial finance page displayed in Cal-Access will be information for the current election cycle and will include general information. The following will be displayed:

a. Committee Name The name of the committee as reflected by the records of the Secretary of State.

b. Election Cycle Under "Election Cycle," the current election cycle has been selected by default. You may choose a prior election cycle by selecting "Historical." Prior election cycles will be displayed back to 1999-2000. (Since electronic filing did not begin until January 1, 2000, no electronic reports were filed in 1999.) Select the election cycle in which you are interested. For these purposes, "election cycle" means a two-year period beginning with January 1 of an odd-numbered year and ending on December 31 of the following even-numbered year. For example, January 1, 2003 through December 31, 2004, is an "election cycle."

c. View Information

(1) "General Information" will have been selected by default. The page will display:

i. Historical Names for this Committee If the committee has any prior names, the names will be displayed.

ii. Filer ID The "Filer ID" is the unique identification number assigned by the Secretary of State.

iii. Filer Phone The "Filer Phone" is the telephone number of the committee as provided by the filer. The Secretary of State does not confirm that the number provided is the current or correct number.

iv. Summary Information The "Summary Information" will include the committee's current status, the date the last regular report was filed during the selected election cycle, the reporting period for the report, the total amount of contributions received during the period, the total amount of contributions received during the calendar year, the total amount of expenditures made during the period, the total amount of expenditures made during the calendar year, and the amount of ending cash at the close of the period covered by the report. These figures are ordinarily derived from the Form 450 or Form 460 filed by the committee for the period indicated. NOTE: THESE FIGURES DO NOT INCLUDE CONTRIBUTIONS OR EXPENDITURES RECEIVED OR MADE SINCE THE CLOSING DATE OF THE PERIOD INDICATED. IN ORDER TO LEARN MORE ABOUT SIGNIFICANT CONTRIBUTIONS THAT MAY HAVE BEEN RECEIVED SINCE THE CLOSING DATE OF THE PERIOD INDICATED, SELECTING OTHER DISPLAY CHOICES AS DISCUSSED BELOW MAY BE HELPFUL.

There are several other choices under "View Information." Click on the choice you prefer as described below. Note that it may take a few seconds for the system to display the requested information.

(2) Contributions Received By clicking on this choice, information regarding the contributions received, as reported on Form 460, will be displayed. The display is by "Contribution Type." The choices of type from which you may select are: "All Contributions (default)," "Loan Contributions," "Monetary Contributions," and "Non-Monetary Contributions." The display will include the name of the contributor, the payment type (loans, monetary or non-monetary), the city, state, and ZIP code of the contributor, the ID Number (if any) of the contributor, the employer of the contributor (if disclosed), the occupation of the contributor (if disclosed), the amount of the contribution, the date the contribution was received as reported on the statement filed, the date the statement was filed, and the transaction number assigned by the Secretary of State. By clicking on the link, the information can be downloaded into a Microsoft Excel sheet and sorted. NOTE: THE CONTRIBUTIONS DISPLAYED DO NOT INCLUDE CONTRIBUTIONS RECEIVED AFTER THE CLOSING DATE FOR THE PERIOD INDICATED.

(3) Contributions Made By clicking on this choice, information regarding the contributions made, as reported on Form 450 or Form 460, will be displayed. The display will include the date of the contribution, the name of the entity receiving it, the “contest” (if any), whether it is “in support” or “in opposition,” the payment type (monetary or non-monetary), and the amount of the contribution. By clicking on the link, the information can be downloaded into a Microsoft Excel sheet and sorted. NOTE: THE CONTRIBUTIONS DISPLAYED DO NOT INCLUDE CONTRIBUTIONS MADE AFTER THE CLOSING DATE FOR THE PERIOD INDICATED.

(4) Expenditures Made By clicking on this choice, information regarding the expenditures made, as reported on Form 450 or Form 460, will be displayed. The display will include the date of the expenditure (if provided by the filer), the name of the payee, an expenditure code or description of the payment, and the amount of the payment. By clicking on the link, the information can be downloaded into a Microsoft Excel sheet and sorted. NOTE THAT THE EXPENDITURES DISPLAYED DO NOT INCLUDE EXPENDITURES MADE AFTER THE CLOSING DATE FOR THE PERIOD INDICATED.

(5) Late and $5000+ Contributions Received By clicking on this choice, information regarding significant contributions received are displayed. Contributions of $1,000 or more received by a state candidate-controlled committee or a committee formed primarily to support or oppose a state ballot measure must be reported online or electronically with the Secretary of State within 24 hours, provided that the contribution is received within 90 days before the election (election cycle) and the filer or committee is an online or electronic filer. Contributions of $1,000 or more received by a political party or county central committee during the 16 days before any state election must be filed online or electronically within 24 hours, provided that the political party or county central committee is an online or electronic filer. In addition, if a contribution of $5,000 or more is received by a state candidate committee or a state ballot measure committee that files online or electronically at any time other than the 90-day election cycle, the report must be filed online or electronically with the Secretary of State within 10 business days. These contributions are reported on Form 497. They are then included in the Form 460 filed for the regular period covering the time in which the contributions were received. (Government Code sections 84203, 85309 and 84605)

(6) Late Contributions Made By clicking on this choice, information regarding contributions of $1,000 or more made to a state candidate-

controlled committee, a political party committee, or a committee formed primarily to support or oppose a state ballot measure, since the second pre-election statement was filed, is displayed. These contributions must be reported online or electronically with the Secretary of State within 24 hours of making the contribution if the committee making the contribution is an online or electronic filer. (Government Code sections 84203 and 84605) In addition, a recipient committee that makes contributions of $5,000 or more to support or oppose the qualification or passage of a single state ballot measure must report the contribution online or electronically to the Secretary of State within 10 business days provided that the committee making the contribution is an online or electronic filer, and the contribution occurs at any time other than the 16 days immediately preceding a state election. (Government Code sections 84204.5 and 84605) These reports are made on Form 497. They are then included on Forms 450 or 460 for the regular period covering the time in which the contributions were made.

(7) <u>Late Independent Expenditures</u> By clicking on this choice, information is displayed regarding significant independent expenditures made with respect to a state candidate or a state ballot measure during the 90 days immediately preceding any state election, including the date of the election. Independent expenditures of $1,000 or more made during such an election cycle must be reported online or electronically with the Secretary of State within 24 hours provided that the committee making the independent expenditure is an online or electronic filer. (Government Code sections 84204, 84605 and 85500) In addition, a recipient committee that makes independent expenditures of $5,000 or more at any time other than the 90-day election cycle to support or oppose the qualification or passage of a single state ballot measure must report the independent expenditure online or electronically to the Secretary of State within 10 business days. These reports are made on Form 496. The independent expenditures are then included on Forms 450 or 460 for the regular period covering the time in which the independent expenditures were made. (Government Code sections 84204.5 and 84605)

(8) <u>Electronic Filings</u> By clicking on this choice, a list of “electronic filings” is displayed. The list includes the name and number of the form that was filed, the filing period of the statement or report, the date and time it was filed, the number assigned by the Secretary of State to the filing, and the type of filing. By clicking on the link, a PDF version of the online/electronically filed document can be viewed. This version may be printed.

d. Sorting Contribution, expenditure, and other data can be sorted by clicking on the category desired. For example, from pages itemizing contributions, double click on "Name of Contributor" to alphabetically sort the contributors by name. Double click on "City" to alphabetically sort by city. (Note that once you have sorted by one category, it is sometimes necessary to double click twice before a second category will sort.)

e. Microsoft Excel Spreadsheet Contributor, expenditure and other data can be downloaded into a Microsoft Excel spreadsheet from pages itemizing contribution and expenditure information. Click on the "DOWNLOAD THESE RESULTS: MICROSOFT EXCEL" prompt.

f. EXAMPLE: Let's assume you want to examine the contributions made to or the expenditures of the incumbent governor. On the "Campaign Finance: Candidates & Elected Officials" page (http://cal-access.sos.ca.gov/Campaign/Candidates/), select "Incumbent Elected State Officials." This will bring up a listing of current incumbent state officeholders. Click on the link for "Governor, [Name of Incumbent]." The request may take a few seconds to process. This will bring up a list of political committees controlled by Governor [Name of Incumbent] including committees active in prior years.

- Let's assume you want information regarding a particular committee controlled by the Governor. Click on the link of the committee in which you're interested. This will bring up a page with numerous options, including an election cycle option. The election cycle option you choose will determine the timeframe of your search results. The data is provided in two-year election cycles, so if you select the 2007- 2008 election cycle, you will get results for that time period.

- By selecting "Contributions Received," you will get a list of all itemized contributions received by this committee for the election cycle you have chosen. If you select "Expenditures Made," you will get a list of expenditures made by the committee in the election cycle you have chosen. (Note that "Contributions Received" or "Expenditures Made" include only those reported online or electronically to the Secretary of State for the period indicated.)

- Once the search is completed, you can click on any column heading to sort the results or you can download your results into a Microsoft Excel spreadsheet.

- This data is ordinarily derived from the candidate's or officeholder's Form 460 – Recipient Committee Campaign Statement. The most recent contributions to state candidates, state elected officials, and state ballot measure committees could be reported in the "Late and $5000+ Contributions Received" category. This data comes from Form 497 contribution reports filed by the candidate or officeholder. These contributions are eventually reported on Form 460 so you will need to pay special attention to the dates the contributions were received to avoid duplicating data.

- If you want to see a copy of the information filed in a statement or report in a printable PDF format, select "Electronic Filings" in the "View Information" section. The request will take a few seconds to process. This page will show you all the electronic or online filings submitted by the candidate's committee. Click on the link of the statement or report you wish to see. That statement or report will appear and can be printed. Select the pages you want on the print menu. Note that the law prohibits the display of street addresses. (*See* answer to Question 13 on Page 48.)

Note: References in Cal-Access to "late" with respect to contributions or independent expenditures may not refer to contributions made or received or independent expenditures made during the normal late contribution and late independent expenditure periods (within the 16 days prior to an election). (Government Code sections 82036, 82036.5, 84203, and 84204) This is because disclosure of some contributions or independent expenditures online or electronically utilizes multi-purpose Forms 496 and 497 and the disclosed contributions or independent expenditures may relate to transactions occurring other than during the late contribution and late independent expenditure periods. (Government Code sections 84204.5, 85309, and 85500)

6. *Question 6 of Section 1:* How do I view a campaign finance statement that has been filed online or electronically?

To view a campaign finance statements that has been filed online or electronically:

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. Click on the category in which you are interested. For example, suppose you are interested in a particular candidate. Click on the "Candidates & Elected Officials" link. This will bring up the "Campaign Finance: Candidates & Elected Officials" page.

c. On this page, you can choose a listing of candidates by category and election. Choose the category (e.g., "Certified Election Candidates") and the election you want. The system will by default select the most recent election. You may select a prior election if you desire after clicking on "Prior Elections" under "Choose an Election." The request may take a few seconds to process. If nothing seems to happen when you point and click on a selection, wait a few seconds and the request is likely to be processed and the requested information will be displayed.

d. Scroll down the page to find the candidate or official in which you are interested.

e. If the candidate filed online or electronically, the name will appear as a link. Click on that link. Information regarding the candidate will be displayed. (If the candidate did not file online or electronically, the name will be listed for informational purposes without being underlined and it does not link to anything.)

f. Scroll down the page to find the candidate's or official's campaign committee(s).

g. Click on the name of the committee in which you are interested. Additional information may be displayed for that committee.

h. To view a copy of any online or electronic filings, select "Electronic Filings" under "View Information." A list of "Electronic Filings" will be displayed.

i. Click on the link of the filing in which you are interested. This link will consist of the name and number of the form and will be underscored in white. A pdf (electronic) image of the filing will be displayed and may be printed.

j. Note that street addresses contained in the original filing are not displayed. California law prohibits displaying street addresses contained in these online or electronic filings. (Government Code section 84602(d)) *See* answer to Question 13 on Page 48.

k. Images of campaign finance disclosure statements that include street addresses are available to view without charge at the Sacramento Office of the Secretary of State at 1500 11th Street, Room 495, Sacramento, CA 95814. Copies are available for ten cents per page.

7. *Question 7 of Section 1:* How do I use “Cal-Access Search” to find candidates, committees, and other campaign-related persons and entities?

“Cal-Access Search” allows you to easily find candidates, committees, and other persons and entities in the Cal-Access database. To use “Cal-Access Search:”

a. Go to the link in the upper left-hand corner of almost any Cal-Access page, including the Campaign Finance page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State’s Home Page — http://www.sos.ca.gov/ — by clicking on “Campaign Finance” under “Political Reform.”)

b. Enter the ID number or partial name of the person or entity in which you are interested and click on “GO.” It may take several seconds to process the request. If nothing seems to happen when you click on “GO,” wait a few seconds and the request is likely to be processed and the requested information will be displayed. Cal-Access will display all of the names of individuals or entities that include the numbers(s) or word(s) entered, along with the “Entity ID,” “Entity Type,” and “Status.”

c. Click on the name of the person or entity in which you are interested, if it is linked as indicated by underlining. Associated committees and/or other information will be displayed.

8. *Question 8 of Section 1:* How do I use "Advanced Search" to find and view campaign financial and other information?

"Advanced Search" allows you to search the Cal-Access database to display information about a multitude of subjects. For example, you can obtain information regarding contributions and independent expenditures of specified amounts made and received during a specified period of time. You can, for example, see what a particular contributor may have contributed to state candidates, state elected officials, state measures or state committees during particular periods of time. A great deal of other information is available through "Advanced Search." To do an "Advanced Search:"

a. Find the "Advanced Search" link located in the upper left-hand portion of almost any Cal-Access menu page. Click on that link. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) It may take several seconds to process the request. If nothing seems to happen when you click on the link, wait a few seconds and the request is likely to be processed and the requested information will be displayed. This will bring up the "California Filings Searchable Database" page.

b. On this page, there are numerous options. Click on the one in which you are interested. It may take several seconds for your request to be processed. If nothing seems to happen when you click on the link, wait a few seconds and the request is likely to be processed and the requested information will be displayed.

c. When using "Advanced Search," be sure to use the date and monetary formats indicated.

d. When using "Advanced Search," be sure to use the "Search" button on the website rather than the "Enter" key on your keyboard.

e. If you receive the message: "Your search returned more than the maximum allowed. Please refine you search," try narrowing your search by specifying a shorter time period or a higher minimum amount in case of contributions or expenditures.

f. <u>EXAMPLE:</u> Suppose you want to find out how much E & J Gallo Winery contributed to all California candidates, political parties, and political committees during 2006. Click on "Advanced Search" on the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) When the "California Filings Searchable Database" page opens (http://dbsearch.ss.ca.gov/), click on "Who's Giving" under "Campaign" — "Contributors." In the "Contributor

Name" field, type in "E & J Gallo Winery." In the "Date of Contribution" field, type in "01/01/2006" and "12/31/2006." Click on "Search." After several seconds, contributions made by E & J Gallo Winery will be displayed. Details of the contributions will be displayed by clicking on the names/links.

Note: References in Cal-Access to "late" with respect to contributions or independent expenditures may not refer to contributions made or received or independent expenditures made during the normal late contribution and late independent expenditure periods (within the 16 days prior to an election.) (Government Code sections 82036, 82036.5, 84203, and 84204) This is because disclosure of some contributions or independent expenditures online or electronically utilizes multi-purpose Forms 496 and 497 and the disclosed contributions or independent expenditures may relate to transactions occurring other than during the late contribution and late independent expenditure periods. (Government Code sections 84204.5, 85309, and 85500)

9. *Question 9 of Section 1:* How do I find out who has made independent expenditures for or against a state candidate or state measure?

Note: This website contains financial information only regarding state candidates, state elected officials and state committees that have filed online or electronically with the Secretary of State. (You are encouraged to refer to "How to Use This Site" located in the "Resources" section of Cal-Access for useful information. http://Cal-Access.sos.ca.gov/CalAccessResources/)

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. Click on "Candidates & Elected Officials" or "Propositions & Ballot Measures," depending the information desired. Select a candidate/measure listing and election in which you are interested. This will take you to a page listing candidates/measures by name.

c. Click on the name of the candidate/measure in which you are interested. This will lead to the committee campaign finance page.

d. Under "View Information," select "Late Independent Expenditures Affecting This Candidate/Measure." Select the election cycle in which you are interested if options are presented. Information regarding "independent expenditures" reported on Form 496 by online or electronic filers will be displayed. Note: As indicated on the website, this report works only if the filer reporting the independent expenditure lists the candidate's name as it exists in the database. Otherwise, the information for that independent expenditure may not be displayed here. For a more comprehensive listing of independent expenditures, try "Advanced Search" as discussed below or s*ee* answer to Question 8 on Page 36.)

e. <u>Alternative Using "Advanced Search</u>" Another way to find information regarding independent expenditures is to use "Advanced Search." Find the "Advanced Search" link located in the upper left-hand portion of almost any Cal-Access menu page. Click on that link. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) This will bring up the "California Filings Searchable Database" page.

- Click on “Late Independent Expenditures” on the “California Filings Searchable Database” page under the “Expenditures” subtitle in the left-hand column. (Don’t be misled by the word “Late” in the subtitle. The data for the most part includes all independent expenditure data filed online or electronically on Form 496 since January 1, 2000.)

- To search on the target of an independent expenditure (e.g., a state candidate or state measure, provided that the maker of the independent expenditure has filed online or electronically), enter the data for the “Candidate Name” or “Measure Name.” Click on “Search.” The search results on the target of the independent expenditure will reveal the date, amount, and source of each independent expenditure made by various persons or committees based on the candidate or measure you selected.

- To search on the filer who made the independent expenditure (e.g., a state major donor/independent expenditure committee or a state recipient committee, provided that the filer has filed online or electronically), enter the data for “Filer Name.” (Entering only the last name may work best in some cases since this is a “keyword” search.) Click on “Search.” The search results of the filer who made the independent expenditure(s) will show the date, amount, and target of each independent expenditure made by the filer type you selected.

- When you search for the object or maker of an independent expenditure, if you click on the magnifying glass displayed, you can view descriptions of payments made to vendors, as well as the dates of each of these payments.

Note: References in Cal-Access to “late” with respect to contributions or independent expenditures may not refer to contributions made or received or independent expenditures made during the normal late contribution and late independent expenditure periods (within the 16 days prior to an election). (Government Code sections 82036, 82036.5, 84203, 84204) This is because disclosure of some contributions or independent expenditures online or electronically utilizes multi-purpose Forms 496 and 497 and the disclosed contributions or independent expenditures may relate to transactions occurring other than during the late contribution and late independent expenditure periods. (Government Code sections 84204.5, 85309, 85500)

10. *Question 10 of Section 1:* How do I find out who has made or received contributions or who has made independent expenditures with respect to state candidates, committees, or measures during a specified period of time?

Begin by clicking on the "Advanced Search" link located in the upper left-hand portion of almost any Cal-Access menu page. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) This will bring up the "California Filings Searchable Database" page. (http://dbsearch.ss.ca.gov/)

a. Contributions Received

(1) If you want to find out who has received contributions of a specified range of amounts during a specified period of time based on online or electronic filings of Forms 497, click on "Received" under "Late Contributions" under "Campaign" on the left-hand side of the page. (Don't be misled by the word "Late" in the subtitle. The data for the most part includes all contribution data filed online/electronically on Form 497 since January 1, 2000.) (A similar search can be conducted with respect to information reported on Forms 460 by clicking on the "Who's Receiving" link and subsequent links on the "California Filings Searchable Database" page.) To view descriptions of Form 497 and 460, visit http://www.sos.ca.gov/prd/campaign_info/forms_instructions/compend_camp_forms.htm.

(2) This will bring up a page where you can enter ranges for "Date of Contribution" and "Contribution Amount." Enter dates and the contribution amounts in the format specified (e.g., 06/29/2007 and 999,999,999). Be sure to include the "commas" with respect to the contribution amounts. Note that a "maximum" amount need not be specified. Click on "Search" near the bottom of the page. It may take several seconds for your request to be processed. If nothing seems to happen when you click on "Search," wait a few seconds and the request is likely to be processed and the requested information will be displayed.

(3) Once the information is displayed, you can click on committee links to obtain more details regarding particular contributions.

(4) EXAMPLE: Suppose you want to find out which state candidates or committees have received contributions of $500,000 or more during the month of August in 2007. Click on "Advanced Search" from almost any Cal-Access menu page. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) On the "California Filings Searchable Database" page, click on "Received" under "Late Contributions" under "Campaign" on the left-hand side of the page. In the "Date of Contribution" fields (From ______To ______), enter "08/01/2007" and "08/31/2007. In the "Contribution Amount" fields (Min. ______ Max. ______), insert "500,000" in the "Min." field. Click on "Search" at the bottom of the page. After a few seconds, the information will be presented. You can click on any contributor link to find out more information about either the contributor or the recipient.

b. Contributions Made If you want to find out who has made contributions of a specified range of amounts during a specified period of time to state based on Form 497 filings, click on "Made" under "Late Contributions" under "Campaign" on the left-hand side of the page. (Don't be misled by the word "Late" in the subtitle. The data for the most part includes all contribution data filed online/electronically on Forms 497 since January 1, 2000.) (A similar search can be conducted with respect to information reported on Forms 460 by clicking on the "Who's Giving" link and subsequent links on the "California Filings Searchable Database" page. Visit http://www.sos.ca.gov/prd/campaign_info/forms_instructions/compend_camp_forms.htm to view descriptions of Form 497 and 460.)

(1) This will bring up a page where you can enter ranges for "Date Made" and "Amount of Contribution."

(2) Enter dates and the contribution amounts in the format specified (e.g., 06/29/2007 and 999,999,999). Be sure to include the "commas" with respect to the contribution amounts. Note that a "maximum" amount need not be specified. Click on "Search" near the bottom of the page. It may take many seconds for your request to be processed. If nothing seems to happen when you

click on “Search,” wait a few seconds and the request is likely to be processed and the requested information will be displayed.

(3) Once the information is displayed, you can click on committee links to obtain more details regarding particular contributions.

(4) EXAMPLE: Suppose you want to find out who has made contributions of $500,000 or more to one or more state candidates or committees during the month of August in 2007. Click on “Advanced Search” from almost any Cal-Access menu page. (Note that if you place your cursor on “Advanced Search,” the link will disappear, but click on it anyway.) On the “California Filings Searchable Database” page, click on “Made” under “Late Contributions” under “Campaign” on the left-hand side of the page. In the “Date Made” fields (From ______To ______), enter “08/01/2007” and “08/31/2007.) In the “Amount of Contribution” fields (Min. ______ Max. ______), insert “500,000” in the “Min.” field. Click on “Search” at the bottom of the page. After a few seconds, the information will be presented. You can click on any contributor link to find out more information about either the contributor or the recipient.

c. Independent Expenditures Made If you want to find out who has made independent expenditures of a specified range of amounts during a specified period of time based on the filings of Forms 496, click on “Late Independent Expenditures” under “Expenditures” under “Campaign” on the left-hand side of the page.

(1) This will bring up a page where you can enter ranges for “Date Expenditure Made” and “Amount of Expenditure Made.”

(2) Enter dates and the expenditure amounts in the format specified (e.g., 06/29/2007 and 999,999,999). Be sure to include the “commas” with respect to the expenditure amounts. Note that a “maximum” amount need not be specified. Click on “Search” near the bottom of the page. It may take many seconds for your request to be processed. If nothing seems to happen when you click on “Search,” wait a few seconds and the request is likely to be processed and the requested information will be displayed.

(3) Once the information is displayed, you can click on committee links to obtain more details regarding particular expenditures.

(4) EXAMPLE: Suppose you want to find out who has made independent expenditures of $100,000 or more regarding one or more state candidates or measure committees during the month of October in 2006. Click on "Advanced Search" from any Cal-Access menu page. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) On the "California Filings Searchable Database" page, click on "Late Independent Expenditures" under "Expenditures" under "Campaign" on the left-hand side of the page. In the "Date Expenditure Made" fields (From ______To ______), enter "10/01/2006" and "10/31/2006.) In the "Amount of Expenditure Made" fields (Min. ______ Max. ______), insert "100,000" in the "Min." field. Click on "Search" at the bottom of the page. After a few seconds, the information will be presented. You can click on the links to find more information regarding the independent expenditures.

d. ALTERNATIVE METHOD — "Daily/Late/Special Filings" An alternative method of determining who has received or made contributions or made independent expenditures with respect to state candidates or committees is to review "Daily/Late/Special Filings." This review will indicate what has been filed online or electronically on any specified day, including Forms 496 and 497 that disclose many major independent expenditures and contributions. To review "Daily/Late/Special Filings" posted on Cal-Access, go back to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) Click on "Daily/Late/Special Filings." You can choose among various options for viewing. Select the option desired and click on the link to learn more about specific filings and filers. You may click on "View PDF Image" to see an electronic image of the filing.

e. Unsuccessful Searches If your "Advanced Search" is unsuccessful, the following message may be displayed: "Your search did not find any matching records." This could be because the contributor has not filed online or electronically. The data is available only with respect to online or electronic filings. This message could also be caused by an attempted search that is too broad. If your search is too broad, there will be more hits than the computer can display. Consequently, you may need to narrow your search by selecting a higher minimum dollar amount and/or a shorter filing period, such as a single month or year.

(See "Note" on next page.)

Note: References in Cal-Access to “late” with respect to contributions or independent expenditures may not refer to contributions made or received or independent expenditures made during the normal late contribution and late independent expenditure periods (within the 16 days prior to an election). (Government Code sections 82036, 82036.5, 84203, and 84204) This is because disclosure of some contributions or independent expenditures online or electronically utilizes multi-purpose Forms 496 and 497 and the disclosed contributions or independent expenditures may relate to transactions occurring other than during the late contribution and late independent expenditure periods. (Government Code sections 84204.5, 85309, and 85500)

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11. *Question 11 of Section 1:* How do I find out who has contributed to a candidate for a local office, to an elected local officer, or to a local political committee, and how the contributions have been spent?

Campaign disclosure statements relative to contributions and expenditures concerning a local office or measure are filed with and are available for viewing and copying at the office of the county clerk or the city clerk, depending on the local matter involved.

Campaign financial information regarding local candidates and measures is ordinarily not available from the Secretary of State's office. The exception to this is when a candidate for local office or a local elected official also has a controlled committee formed for a state office or measure. In these cases, the local controlled committee is also required to file its committee's statement with the Secretary of State. If the candidate is required to file campaign statements online or electronically with the Secretary of State, the local controlled committee must also file its statements with the Secretary of State online or electronically. (Government Code sections 84215 and 84605 - http://www.sos.ca.gov/prd/faqs.htm [7th FAQ])

12. *Question 12 of Section 1:* How do I find out who has contributed to a candidate for federal office, including a candidate for President?

Campaign disclosure statements relative to contributions and expenditures concerning a candidate for federal office, including President, are filed with the Federal Election Commission. The disclosure statements are not available through Cal-Access. A searchable database for these statements is located at http://www.fec.gov/disclosure.shtml. The toll-free number for the Federal Election Commission is 1-800-424-9530.

13. *Question 13 of Section 1:* How do I find out the street addresses of campaign contributors, committees, or treasurers?

The Secretary of State's office is prohibited by law (Government Code section 84602(d)) from posting on the Internet the street addresses of campaign contributors, committees, payees, or treasurers included in campaign finance disclosure statements filed with the Secretary of State's office. However, images of campaign finance disclosure statements that include street addresses are available to view without charge at the Sacramento Office of the Secretary of State at 1500 11th Street, Room 495, Sacramento, CA 95814. Copies are available for ten cents per page.

14. *Question 14 of Section 1:* How do I find out who controls a state or local committee?

The individual or entity, if any, that controls a state or local committee is indicated on the committee's "Statement of Organization" (Form 410) filed with the Secretary of State.

The initial "Statement of Organization" ordinarily cannot be viewed online. It may be viewed without charge at the Secretary of State's office at 1500 11th Street, Room 495, Sacramento, California 95814. Copies may be purchased for ten cents per page.

Note: Some "Statements of Organization" (Form 410) can be viewed online in PDF format if the document was filed online/electronically by the committee. To determine if the statement has been filed online/electronically, view the "Electronic Filings" of the committee as explained in the answer to Question 6 on Page 33. Section 5 of Form 460 filed online or electronically may also indicate a controlling officeholder or candidate. *See* the answer to Question 21 on Page 57.

15. *Question 15 of Section 1:* How do I find out the committees controlled by a state candidate or state elected official?

There are three methods in Cal-Access for determining what committees are controlled by a state candidate or state elected official. They are:

a. Using the "Candidates & Elected Officials" Site

(1) Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

(2) Click on "Candidates & Elected Officials." This will bring up the "Candidates & Elected Officials" page. (http://cal-access.sos.ca.gov/Campaign/Candidates/) Under "Choose a Listing," select "Candidates and Elected Officials by Name." An alphabetized list of candidates/elected officials will be displayed.

(3) Click on the name of the candidate/elected official in which you are interested. The candidate's/elected official's campaign finance page will be displayed.

(4) Scroll down that page and the names and summary information regarding all controlled committees (active and terminated) of the candidate/elected official will be displayed. More information regarding each committee can be obtained by clicking on the underlined committee name.

b. Using the "Who is Running for What State Office?" Site

(1) Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

(2) Select "Who is Running for What State Office?." Wait for the query to be processed.

(3) Under "Choose an Election," select the election in which you are interested. A list of candidates who have filed Form 501 (Candidate Intention Statement) will be displayed.

(4) Select the candidate in which you are interested. If the name is underlined, the candidate's campaign finance page will be displayed.

(5) Scroll down that page and the names and summary information regarding all controlled committees (active and terminated) of the candidate will be displayed. More information regarding each committee can be obtained by clicking on the underlined committee name.

c. Using Cal-Access Search

(1) Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

(2) Go to the "Cal-Access Search" link in the upper left-hand corner. Enter the last name of the candidate or elected official. Click on "GO." Several seconds may be required to process the query. A list of entities that include the name entered will be displayed.

(3) Find the underlined name of the candidate or elected official in whom you are interested that is followed by "Candidate" in the "Entity Type" column. Click on that link. The candidate's campaign finance page will be displayed.

(4) Scroll down that page and the names and summary information regarding all controlled committees (active and terminated) of the candidate will be displayed. More information regarding each committee can be obtained by clicking on the underlined committee name.

16. *Question 16 of Section 1:* How do I find out what contribution and voluntary spending limits apply to a state or local candidate for office?

State: Limitations on campaign contributions with respect to state candidates, state committees, and state political parties and voluntary spending limits with respect to state candidates are set forth at http://www.sos.ca.gov/prd/FACTS.pdf. This link is also included on the main "Campaign Finance" page of Cal-Access under the title "Proposition 34 State Candidate Contribution and Voluntary Expenditure Limits."

See, also, the Fair Political Practices Commission's website at http://www.fppc.ca.gov/bulletin/contribchart.pdf which addresses issues regarding state officeholder committees, legal defense funds, communications identifying state candidates, contributions from state lobbyists, recall elections, and ballot measure committees.

Local: Information regarding any contribution limits and spending limits that may apply to local candidates can be obtained from offices of the county clerk or city clerk involved with the local election. That information is not available in Cal-Access.

17. *Question 17 of Section 1:* How do I find out the names of my state legislators?

You can identify your state legislators by visiting the following website and entering your zip code: http://www.leginfo.ca.gov/yourleg.html.

Members of Congress are not included in this site. However, a list of Members of Congress is included in the *California Roster* at http://www.sos.ca.gov/executive/ca_roster/.

18. *Question 18 of Section 1:* How do I find out who has indicated they are or may be a candidate for a particular elective state office and whether voluntary spending limits have been accepted or rejected?

Individuals must file a Form 501 (Candidate Intention Statement) (http://www.sos.ca.gov/prd/forms/501.pdf) on paper with the Secretary of State's office before soliciting or receiving any contributions with respect to running for an elective state office. (Government Code section 85200) To find out who has filed Form 501 (Candidate Intention Statement) for specified state offices and whether the candidate has accepted the voluntary spending limits:

a. Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

b. Click on "Candidates & Elected Officials." (http://cal-access.sos.ca.gov/Campaign/Candidates/)

c. Under "Choose a Listing," select "Who is Running for What State Office? (Candidate Statement of Intention)."

d. Under "Choose an Election," click on the election in which you are interested. (The system will display by default the next election.) A list of candidates who have filed Form 501will be displayed.

e. Click on the column heading to sort the data in that column. For example, suppose you want to know who has filed a Form 501 to run in a particular assembly district for a given year. Click on "Contest" in the column with that title. The data will be sorted by office/district.

Form 501 must be filed on paper. Online or electronic filing is not available. However, a filed Form 501 may be viewed without charge at the Secretary of State's office at 1500 11th Street, Room 495, Sacramento, California 95814. Copies may be purchased for ten cents per page.

Note that once an individual files a Form 501, the filing remains on the system even if the individual no longer wishes to run for that office, unless the individual requests in writing that the filing be withdrawn.

19. *Question 19 of Section 1:* How do I view a prior online or electronic filing after an amendment has been filed?

By default, Cal-Access displays in PDF only the most current version of a filing. To view prior PDF versions of the filing:

a. Go to the PDF image of the current filing. (*See* the answer to Question 6 on Page 33.)

b. Find the address line (URL) of the PDF image displayed at the top of the page. The address will start with the lettering "http:/Cal-Access.sos.ca.gov/PDFGen." At the end of this address line you will find the word "amendid" (meaning amendment id) followed by an equal sign (=). After this equal sign is a number. If there has been no amendment, this number will be 0. If there has been one amendment, this number will be 1. If there have been 3 amendments, this number will be 3.

c. To see the image of the original filing, type over the displayed number with the number 0 and press "Enter." If there is more than one amendment, to see any prior amendment, type over the displayed number with the sequential number corresponding to that amendment and then press "Enter."

20. *Question 20 of Section 1:* How do I find out the committees and filings associated with a specified treasurer or responsible officer?

a. Find the “Advanced Search” link located in the upper left-hand portion of almost any Cal-Access menu page. Click on that link. (Note that if you place your cursor on “Advanced Search,” the link will disappear, but click on it anyway.) This will bring up the “California Filings Searchable Database” page.

b. Click on “Treasurer/Responsible Officer” under “Officers” under “Summary Reports” on the right-hand bottom of the page. It may take several seconds for your request to be processed. If nothing seems to happen when you click on the selection, wait a few seconds and the request is likely to be processed. The “Treasurer/Responsible Officer Search” page will be displayed.

c. To determine a committee or entity with which a particular person is associated, enter the last name of the treasurer or responsible officer in the yellow box.

d. Note that this search will only display data derived from online or electronic filings.

21. *Question 21 of Section 1:* How do I find out the name of the treasurer of a committee?

Cal-Access does not provide the name of a committee treasurer, per se, although the telephone number of the filer is provided in the "General Information" portion of the committee page. The name of the treasurer can often be found by calling that number.

The name of the treasurer of a committee is indicated on the committee's "Statement of Organization" (Form 410) filed with the Secretary of State. The initial "Statement of Organization" ordinarily cannot be viewed online. It may be viewed without charge at the Secretary of State's office at 1500 11th Street, Room 495, Sacramento, California 95814. Copies may be purchased for ten cents per page. (Note: Some "Statements of Organization" (Form 410) can be viewed online in PDF format if filed online/electronically by the committee. To determine if the statement has been filed online/electronically, view the "Electronic Filings" of the committee as explained in the answer to Question 6 on Page 33.)

a. If the committee has filed a Form 450 or 460 online or electronically, the name of the treasurer can be found by viewing that form. To do that:

   (1) Go to the "Campaign Finance" page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" under "Political Reform.")

   (2) Click on the "Committees, Parties, Major Donors & Slate Mailers" link. This will bring up the "Committees, Parties, Major Donors and Slate Mailers" page.

   (3) On this page, select "All" for committee type and the election in which you are interested. The request may take a few seconds to process. A list of committees in alphabetical order will be displayed. (You may be able to use "Cal Access Search" to locate the committee if you know part of its name or if you know its ID number. *See* the answer to Question 7 on Page 35.)

   (4) Scroll down the page to find the committee in which you are interested. Click on that name. Information about that committee will be displayed.

(5) Under "View Information," select "Electronic Filings." A list of "Electronic Filings" will be displayed if any filings have been submitted online or electronically.

(6) Look for links that say "RECIPIENT COMMITTEE CAMPAIGN STATEMENT (F460)" or "RECIPIENT COMMITTEE CAMPAIGN STATEMENT (F450)." Click on that link. An image of the filing will be displayed. The name of the treasurer will be indicated in the second column on page 1, along with a city, state and ZIP code. (Note that Forms 461, 496 and 497 filed online or electronically do not contain the names of committee treasurers. However, Form 461 does display the name of the "responsible officer" if one is indicated in the filing.)

(7) Note that the street address of the treasurer contained in the filing is not displayed. California law prohibits displaying on Cal-Access street addresses contained in these online or electronic filings. (*See* answer to Question 13 on Page 48.) (Government Code section 84602(d))

b. If you know approximately when the committee or entity filed a document online or electronically with the Secretary of State, the name of the treasurer or responsible officer might be identified using "Advanced Search" as indicated in the answer to Question 20 on Page 56. Enter the date range of the document filing, but leave the field for the name of the treasurer blank. The request may take several seconds to process. The search will indicate the documents filed within the range of dates indicated and information about the filing, including the name of the treasurer or responsible party.

22. *Question 22 of Section 1:* How do I find information regarding "behested payments" involving state elected officials?

The Fair Political Practices Commission has posted on its website information regarding "behested payments" involving state elected officials. This information is taken from copies of reports filed with the Commission pursuant to state law. To view this information, visit http://www.fppc.ca.gov/index.html?id=499.

For a definition of "behested payments," *see* "Glossary" on Page 103.

23. *Question 23 of Section 1:* How do I obtain technical assistance with respect to viewing data filed online or electronically?

For technical assistance regarding viewing data filed online or electronically, call 1-877-745-3453 or 916-653-7283 or e-mail the Political Reform Division by using the online form at http://www.sos.ca.gov/cgi-bin/print_form.cgi.

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Section 2

Viewing Lobbying Financial and Other Information

1. *Question 1 of Section 2:* How do I view a lobbying financial report that has been filed online or electronically by a lobbyist, lobbying firm, or lobbyist employer?

a. Go to the “Lobbying Activity” page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach the “Lobbying Activity” page from the Secretary of State’s Home Page — http://www.sos.ca.gov/ — by clicking on “Lobbying Activity & Finance” under “Political Reform.”)

b. Click on the category in which you are interested. For example, assume you are interested in a particular lobbyist. Click on the “Individual Lobbyists” link. This will bring up the “Individual Lobbyists” page.

c. On this page, you can choose from an alphabetical list of individual lobbyists. Scroll down the page to find the lobbyist in which you’re interested. Click on that name. The request may take a few seconds to process. Information about that lobbyist will be displayed.

d. Under “View,” select “Financial Activity/Filing History.” The request may take a few seconds to process.

e. Select the “Legislative Session” in which you are interested.

f. A list of online/electronic filings for that lobbyist and session will be displayed.

g. Click on the link of the filing in which you are interested. An electronic image of the filing will be displayed and may be printed.

2. *Question 2 of Section 2:* How do I use "Cal-Access Search" to find information about lobbyists, lobbyist employers, and lobbying firms?

"Cal-Access Search" allows you to easily find information about lobbyists, lobbyist employers, and lobbying firms in the Cal-Access database. To use "Cal-Access Search:"

a. Go to the link in the upper left-hand corner of almost any Cal-Access page, including the Campaign Finance page. (http://cal-access.sos.ca.gov/campaign/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Enter the number or partial name of the person or entity in which you are interested and click on "GO." It may take several seconds to process the request. If nothing seems to happen when you click on "GO," wait a few seconds and the request is likely to be processed and the requested information will be displayed. Cal-Access will display all of the names of individuals or entities that include the numbers, word or words entered, along with the "Entity ID," "Entity Type," and "Status."

c. Click on the name of the person or entity in which you are interested, if it is linked as indicated by underlining. Associated persons and/or other information will be displayed.

3. *Question 3 of Section 2:* How do I use “Advanced Search” to view lobbying financial activity and other information?

“Advanced Search” allows you to search the Cal-Access database to display information about a multitude of subjects. For example, you can find out how a lobbyist employer or lobbying firm ranks based on payments received or made for lobbying activity. A great deal of other information is available through “Advanced Search.” To use “Advanced Search:”

a. Find the “Advanced Search” link located in the upper left-hand portion of almost any Cal-Access menu page. Click on that link. (Note that if you place your cursor on “Advanced Search,” the link will disappear, but click on it anyway.) It may take several seconds to process the request. If nothing seems to happen when you click on the link, wait a few seconds and the request is likely to be processed and the requested information will be displayed. This will bring up the “California Filings Searchable Database” page. The lobbying activity search functions are in the right-hand column.

b. On this page, there are numerous options. Click on the one in which you are interested. It may take several seconds for your request to be processed. If nothing seems to happen when you click on the link, wait a few seconds and the request is likely to be processed and the requested information will be displayed.

c. When using “Advanced Search,” be sure to use the date and monetary formats indicated.

d. When using “Advanced Search,” be sure to use the “Search” button on the website rather than the “Enter” key on your keyboard.

e. If you receive the message: “Your search returned more than the maximum allowed. Please refine you search,” try narrowing your search by specifying a shorter time period or a higher minimum amount in case of contributions or expenditures.

4. *Question 4 of Section 2:* How do I find out whether an individual is a registered lobbyist?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on "Individual Lobbyists" link. This will bring up the "Individual Lobbyists" for the current session. The lobbyists are listed alphabetically.

c. To search for lobbyists back to the 1999-2000 legislative session, under "Legislative Session," click on "Historical." From the options offered, click on the session in which you are interested.

d. If the individual cannot be located in this presentation or you believe the individual was a lobbyist in a year prior to the 1999-2000 session, contact the Political Reform Division at http://www.sos.ca.gov/cgi-bin/contacts.cgi.

5. *Question 5 of Section 2:* How do I find out the address of a registered lobbyist, lobbying firm, or lobbyist employer?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. You can select "Individual Lobbyists," "Lobbyist Employers" or "Lobbying Firms" by legislative session back to 1999-2000. Indicate your choice.

c. The individual or entity is listed alphabetically by name.

d. Click on your choice. The address and other information regarding the individual or entity will be displayed. (Government Code section 86109.5(d))

6. *Question 6 of Section 2:* How do I find out who is lobbying for a particular lobbyist employer?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/ (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Select "Lobbyist Employers" by legislative session back to 1999-2000. "Lobbyist Employers" are displayed alphabetically. Under "View," click on the "Lobbyist Employer" in which you are interested.

c. The presentation will display both lobbyists and lobbying firms of the employer.

d. Note that you can obtain additional information regarding the lobbyist or lobbying firm by clicking on the name of the lobbyist or lobbying firm.

7. *Question 7 of Section 2:* How do I find out lobbyist employers by category of lobbying activity?

When employers of lobbyists register with the Secretary of State's office, they must indicate an industry group classification that accurately describes the group they represent. This determines in which category the employer is placed. To determine the category of lobbying activity of a particular lobbyist employer:

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Select "Lobbyist Employers" by legislative session back to 1999-2000. "Lobbyist Employers" are displayed alphabetically.

c. Under "View," click on "By Employer Category." It may take several seconds for the request to be processed. The categories will be displayed, along with the amount of expenditures reported for the various quarters for that category.

d. Click on the title of the category desired. It may take several seconds for the request to be processed. A list of the lobbyist employers in that category will be displayed.

e. For additional information regarding a particular lobbyist employer, click on the name of the lobbyist employer.

8. *Question 8 of Section 2:* How do I find out the category of lobbying activity of a particular lobbyist employer?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Select "Lobbyist Employers."

c. The names of lobbyist employers for the current legislative session will be displayed alphabetically. You may view a list of lobbyist employers for previous sessions by selecting "Historical" under "Legislative Session."

d. Click on the "Lobbyist Employer" in which you are interested.

e. Under "View," select "Financial Activity/Filing History." Under "Legislative Session," you may select a display regarding a previous legislative session if you are not interested in the current legislative session.

f. Scroll down the page until "Electronic Filings" appear. Look for a link that says "LOBBYING FIRM ACTIVITY AUTHORIZATION (F602)" OR "LOBBYIST EMPLOYER OR LOBBYING COALITION REGISTRATION STATEMENTS (F603)." Click on that link.

g. Form 602 (Lobbying Firm Activity Authorization) or Form 603 (Lobbyist Employer/Lobbying Coalition Registration Statement) will be displayed. Section E on Page 2 of these forms includes a list of "Industry Group Classifications." View this section to determine which box has been checked by the lobbyist employer.

h. "<u>Advanced Search</u>" You may also view "Lobbyist Employers" categories by utilizing "Advanced Search" as explained in the answer to Question 3 on Page 64. From the "California Filings Searchable Database" page, click on "Lobbying – Employer Category" in the right-hand column of the page. Enter the requested data and click on "Search." It may take several seconds to process the request. If nothing seems to happen when you click on "Search," wait a few seconds and the request is likely to be processed and the requested information will be displayed.

9. *Question 9 of Section 2:* How do I find out the names of a lobbying firm's clients?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Select "Lobbying Firms" by legislative session back to 1999-2000.

c. The names of lobbying firms are displayed alphabetically. Click on the "Lobbying Firm" in which you are interested. The presentation will display both lobbyists and clients, if applicable, of the lobbying firm.

d. You can obtain additional information regarding the lobbyist or client by clicking on the name of the lobbyist or client.

10. *Question 10 of Section 2:* How do I find out whether a lobbyist has made or delivered political contributions involving a state candidate, officeholder, or committee?

Lobbyists must disclose on their quarterly reports (Form 615) the state candidates, committees or officeholders to whom they have made or delivered campaign contributions, if any contributions have been made or delivered. (Government Code section 86113(a)(2)) To view these reports:

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on "Individual Lobbyists."

c. Select the lobbyist in whom you are interested.

d. Select "Financial Activity/Filing History" and the desired "Legislative Session."

e. Click on the "Lobbyist Report (F615)" for the quarter that is of interest. A copy of the report will be displayed. View the information in "Part II" of the form and any attachment, if applicable.

Note: A state lobbyist may not contribute to a state officeholder's or candidate's committee if the lobbyist is registered to lobby the agency of the elected officer or the agency to which the candidate is seeking election. The lobbyist also may not contribute to a local committee controlled by any such state candidate. (Government Code section 85702) (2 California Code of Regulations section 18572) (http://www.fppc.ca.gov/bulletin/contribchart.pdf)

11. *Question 11 of Section 2:* How do I find out whether a lobbying firm has made political contributions involving a state candidate, officeholder, or committee?

Lobbying firms must disclose on their quarterly reports (Form 625) the state candidates, officeholders or committees to whom they have made campaign contributions, if any contributions have been made. (Government Code section 86114(a)(7)) To view these reports:

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on "Lobbying Firms."

c. Select the lobbying firm in which you are interested.

d. Select "Financial Activity/Filing History" and the desired "Legislative Session."

e. Click on the "Report of Lobbying Firm (F625)" in the "Electronic Filings" portion for the quarter of interest. A copy of the report will be displayed. View the information in Paragraph E of the "Summary of Payments This Period" portion on the first page and Part IV, if applicable.

Note: A state lobbying firm or other business entity may not contribute to a state candidate or elected official if the firm or entity is owned in whole or in part by a lobbyist and the lobbyist participates in the decision to make the contribution, if the lobbyist would be prohibited from making the contribution pursuant to Government Code section 85702. (2 California Code of Regulations section 18572) (http://www.fppc.ca.gov/bulletin/contribchart.pdf)

12. *Question 12 of Section 2:* How do I find out whether a lobbyist employer has made political contributions involving a state candidate, officeholder, or committee?

Lobbyist employers must disclose on their quarterly reports (Form 635) the state candidates, officeholders or committees to whom they have made campaign contributions, if any contributions have been made. (Government Code section 86116(g)) To view these reports:

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on "Lobbyist Employer."

c. Select the lobbyist employer in which you are interested.

d. Select "Financial Activity/Filing History" and the desired "Legislative Session."

e. Click on the "Report of Lobbyist Employer and Report of Lobbying Coalition (F635)" in the "Electronic Filings" portion for the quarter that is of interest. A copy of the report will be displayed. View the information in Paragraph F of the "Summary of Payments This Period" portion on the first page and Part IV, if applicable.

13. *Question 13 of Section 2:* How do I find out the bills or administrative actions lobbied by a particular lobbying firm?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on "Lobbying Firms."

c. Select the lobbying firm in which you are interested.

d. Select "Financial Activity/Filing History" and the desired "Legislative Session."

e. Click on the "Report of Lobbying Firm (F625)" in the "Electronic Filing" portion for the quarter that is of interest. A copy of the report will be displayed.

f. View Part II. A list of the legislative and administrative actions lobbied will be displayed for each employer who has retained the firm for lobbying.

14. *Question 14 of Section 2:* How do I find out the bills or administrative actions lobbied by a particular lobbyist employer?

a. Go to the “Lobbying Activity” page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State’s Home Page — http://www.sos.ca.gov/ — by clicking on “Lobbying Activity & Finance” under “Political Reform.”)

b. Click on “Lobbyist Employers.”

c. Select the lobbying employer in which you are interested.

d. Select “Financial Activity/Filing History” and the desired “Legislative Session.”

e. Under “BILLS AND AGENCIES LOBBIED,” a list of bills/agencies lobbied by quarter is displayed.

f. A list of bills and agencies lobbied can also be found by clicking on the “Report of Lobbyist Employer and Lobbying Coalition (F635)” in the “Electronic Filing” portion for the quarter that is of interest. A copy of the report will be displayed. View Part I. A list of the legislative and administrative actions lobbied will be displayed.

15. *Question 15 of Section 2:* How do I find out how much a lobbyist has been paid by a lobbying firm or lobbyist employer?

Under the Political Reform Act, lobbying firms or lobbyist employers do not indicate on quarterly disclosure reports the amount paid to individual lobbyists with whom they are associated. Individual lobbyists do not disclose on their reports how much they have received to lobby. Therefore, there is no method based on the Political Reform Act to obtain that information.

16. *Question 16 of Section 2:* How do I view a prior online or electronic filing after an amendment has been filed?

Cal-Access displays in PDF format only the most current amended version of a filing. To view the original or prior PDF versions of the filing:

a. Go back to the PDF image of the current filing. (*See* answer to Question 1 on Page 62.

b. Find the address line (URL) of the PDF image displayed at the top of the page. The address will start with the lettering “http:/Cal-Access.sos.ca.gov/PDFGen.” At the end of this address line you will find the word “amendid” (meaning amendment id) followed by an equal sign (=). After this equal sign is a number. If there has been no amendment, this number will be 0. If there has been one amendment, this number will be 1. If there have been 3 amendments, this number will be 3.

c. To see the original image of the filing, type over the displayed number with the number 0 and press Enter. If there is more than one amendment, to see any prior amendment type over the displayed number with the sequential number corresponding to that amendment and then press Enter.

17. *Question 17 of Section 2:* How do I find out the top xx lobbying firms based on payments made to the firms?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on the "Advanced Search" link in the upper left-hand corner. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) The "California Filings Searchable Database" will be displayed.

c. Under "Lobbying," on the right-hand side of the page, click on "Lobbying Firms." The "Lobbying Firm Disclosure Report Summary" page will be displayed.

d. Select the "Legislative Session" from the drop down list box that indicates "Any" or a particular session. Note that you can select for any session back to 1999-2000.

e. Click on the check marks of the quarters you are NOT interested in viewing to remove them from the search criteria.

f. Click on "Search" at the bottom of the page to run the report. Several seconds may be required to process your request.

g. The report is returned with the following information displayed: "Total Payments Received: $____" and "#Records Found." The firms are listed alphabetically in the left column and the payments received in the right. Click on the magnifying glass in the "View Detail" column to see the payment amount the firm received for each quarter selected.

h. You can narrow the search by clicking the "Top xx Firms" drop list box to reduce the number of firms you want to view. The report is returned with the "Top xx Firms."

i. Click the "Download" button to view your results in a Microsoft Excel spreadsheet.

18. *Question 18 of Section 2:* How do I find out the top xx lobbyist employers based on payments made by the employers?

a. Go to the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Lobbying/) (You may also reach this site from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Lobbying Activity & Finance" under "Political Reform.")

b. Click on the "Advanced Search" link in the upper left-hand corner. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) The "California Filings Searchable Database" will be displayed.

c. Under "Lobbying," on the right-hand side of the page, click on "Employer Category." The "Employer Category Search" page will be displayed.

d. Select the "Legislative Session" from the drop down list box that indicates "Any" or a particular session. Note that you can select for any session back to 1999-2000.

e. Click on the check marks of the quarters you are NOT interested in viewing to remove them from the search criteria.

f. Click on "Search" to run the report. Several seconds may be required to process the request.

g. The report is returned with the following information displayed: "#Records Found" and "Total Payments Made: $____." The employers are listed alphabetically in the first column, the payments received in the second column, and the interest of the employer in the third column. Click on the magnifying glass in the "View Detail" column (fourth column) to see the payment amount the employer paid for each quarter selected.

h. You can narrow the search by clicking the "Top xx Employers" drop list box to reduce the number of employers you want to view. The report is returned with the "Top xx Employers."

i. Click on the "Download" button located in the upper right-hand portion of the page to view your results in a Microsoft Excel spreadsheet.

19. *Question 19 of Section 2:* How do I obtain technical assistance with respect to viewing data filed online or electronically?

For technical assistance regarding viewing data filed online or electronically, call 1-877-745-3453 or 916-653-7283 or e-mail the Political Reform Division by using the online form at http://www.sos.ca.gov/cgi-bin/print_form.cgi.

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Section 3

Online and Electronic Filing of Documents

1. *Question 1 of Section 3:* How do I find out how to file online or electronically?

If you are required to file online or electronically or wish to do so voluntarily, you can obtain online/electronic filing information from the Secretary of State's Home Page (http://www.sos.ca.gov/) by clicking on "Electronic Filing Assistance" under "Political Reform." This will bring up http://www.sos.ca.gov/prd/electronic_filing_info.htm. **Information about filing free of charge is provided.**

You can access the Cal-Online logon screen directly from the Secretary of State's Home Page (http://www.sos.ca.gov/) by clicking on "File Using Cal-Online" under "Political Reform."

Note that those state filers who are not required to file online or electronically, may do so voluntarily. (Government 84605(f)) Once one files online or electronically, one must continue to file online or electronically. (Government Code section 84605(g) - http://www.sos.ca.gov/prd/faqs.htm)

The online or electronic filing information page can **also** be located by:

a. Go to the "Campaign Finance" page or the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Campaign/ http://cal-access.sos.ca.gov/Lobbying/) (You may also reach these sites from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" or "Lobbying Activity & Finance" under "Political Reform.")

b. In the menu on the left-hand side of the page, click on "For Filers Only."

c. Click on "Electronic Filing Information."

d. Click on the link below the title "Getting Started - Application for Password" which says "Password/Vendor Authorization Applications for Electronic and Online Filing." Follow the instructions on the form.

e. If you have any problems, call the Help Desk for assistance at 1-877-745-3453 or 916-653-7283.

For additional general information regarding online or electronic filing, visit the Secretary of State's "Frequently Asked Questions" page at http://www. /prd/faqs.htm.

That page can be located by either of the following methods:

a. Go to the Secretary of State's Home Page (http://www.sos.ca.gov/) and click on "Electronic Filing Assistance" under "Political Reform." This will bring up http://www.sos.ca.gov/prd/electronic_filing_info.htm.

   (1) A link for "FAQ's" is located on the left-hand side of the page. Click on that link. http://www. /prd/faqs.htm

b. Go the "Campaign Finance" page or the "Lobbying Activity" page. (http://cal-access.sos.ca.gov/Campaign/ http://cal-access.sos.ca.gov/Lobbying/) (You may also reach these sites from the Secretary of State's Home Page — http://www.sos.ca.gov/ — by clicking on "Campaign Finance" or "Lobbying Activity & Finance" under "Political Reform.")

   (1) In the menu on the left-hand side of the page, click on "For Filers Only."

   (2) Click on "Electronic Filing Information."

   (3) In the menu on the left-hand side of the page, click on "FAQ's."

2. *Question 2 of Section 3:* How do I obtain a filer identification number and password to file online or electronically using Cal-Online or through an approved vendor if the identification number and password have not already been provided?

a. Go to the Secretary of State's Home Page at http://www.sos.ca.gov/. Under "Political Reform," click on "Electronic Filing Assistance."

b. When the "Electronic Filing Information" page appears, under "Getting Started – Application for Password," click on "Password/Vendor Authorization Applications for Electronic and Online Filing."

c. When the "Electronic Filing" page appears, there will be three options to view and download pdf applications for requesting a password. These are:

- Campaign - Application to Obtain Logon Password and Authorization of Vendor or Provider
- Lobbying - Application to Obtain Logon Password and Authorization of Vendor or Provider
- Application to Obtain Logon Password and ID for State Candidate Issue Advocacy Filers

The first form is for the filing of campaign statements/reports. The second form is for the filing of lobbying activity documents. The third form is for "Issue Advocacy" filers. (Government Code section 85310)

d. Download and print the application you want. Fill out the application and fax it to the Political Reform Division of the Office of the Secretary of State at **(916) 653-5045**. Be sure to indicate your own fax number so your identification number and password can be faxed back to you.

3. *Question 3 of Section 3:* How do I deal with the Cal-Online error message "This user is already logged on?"

If a Cal-Online user attempting to log on encounters the error message: "This user is already logged on," the user will be blocked by the system from actually logging on to file a new statement or report online. There is nothing more that the user can do to rectify the situation. If you encounter this error message, call the Help Desk for resolution. The Help Desk number is 1-877-745-3453 or 916-653-7283.

4. *Question 4 of Section 3:* How do I log off Cal-Online properly?

Failure to log off a Cal-Online session properly could result in problems when logging on to a future session. If a user does not properly log off of a session after successfully submitting a filing, when the user logs on for a subsequent filing, the user will receive a notice that the user has filed successfully (referring to the previous filing) rather than the usual start up page. To log off properly:

a. Do not click on the “X” button at the top of the browser which normally closes out the screen.

b. Click on the tab in the upper right-hand portion of the screen labeled “END SESSION”. The screen will then show a prompt directly below this tab stating “Logoff.”

c. Click on the tab labeled “END SESSION” one more time. If you have properly logged out, you will return to the beginning password screen. (For further information, *see* the answer to Question 13 in this section on Page 98.)

5. *Question 5 of Section 3:* How do I amend online or electronically filed lobbying disclosure reports (Forms 615, 625, 635 and 645) using Cal-Online?

a. Log on to "Cal-Online" by visiting (https://cafile.ss.ca.gov/CalOnline/) (The Cal-Online logon screen can also be reached by clicking on "Filing Using Cal-Online" under "Political Reform" on the Home Page (http://www.sos.ca.gov/).

b. Select "Reporting" option.

c. Highlight the Form number that needs to be amended.

d. Move highlighted button from "File A New Filing" to "Amend An Existing Filing."

e. Click on the button in lower right labeled "Continue Filing." This will take you to a rectangular box labeled "Submitted Filings" that contains a listing of all previous filed electronic statements. Using the downward pointed triangle at the lower right corner of the box, scroll down to view all filings. Select the filing you wish to amend by clicking on the button "EDIT" next to the filing description. (Note: Clicking on "VIEW" instead of "EDIT" will allow you to view a copy of a previous filed document without amending such document. You can also print while viewing.) By clicking the "EDIT" button at the appropriate filing you will launch your amendment.

f. Using the pull down menu at the top of the screen labeled "Section," find the sections of the form that need to be amended and key in the changed information.

g. Click on "Save."

h. Using the pull down menu, go to the "Form 690-Reason for Amendment" section.

i. Fill Form 690 out completely indicating what form and filing period you are amending as well as the reason for the amendment.

j. Save this screen and press the "Continue Filing" button.

k. Click on, complete and save the Verification section, and then press the "Continue Filing" button.

l. After previewing the completed amendment form and making any required changes, you can make your final submittal by pressing the "Submit Filing to California Secretary of State" button.

m. After successful submittal, print out a copy for your own records.

n. Log off from the application by clicking twice on the tab in the upper right hand corner marked ""END SESSION"."

6. *Question 6 of Section 3:* How do I amend online or electronically filed campaign disclosure statement Form 450 or 460 using Cal-Online?

a. Log on to "Cal-Online" by visiting (https://cafile.ss.ca.gov/CalOnline/) (The Cal-Online logon screen can also be reached by clicking on "Filing Using Cal-Online" under "Political Reform" on the Home Page (http://www.sos.ca.gov/).

b. Select "Reporting" option.

c. Highlight the Form number that needs to be amended, e.g., Form 460.

d. Move highlighted button from "File A New Filing" to "Amend An Existing Filing."

e. Click on the button in lower right labeled "Continue Filing." This will take you to a rectangular box labeled "Submitted Filings" that contains a listing of all previous filed electronic statements. Using the downward pointed triangle at the lower right corner of the box scroll down to view all filings. Select the filing you wish to amend by clicking on the button "EDIT" next to the filing description. (Note: Clicking on "VIEW" instead of "EDIT" will allow you to view a copy of a previous filed document without amending such document. You can also print while viewing.) By clicking the "EDIT" button at the appropriate filing you will launch your amendment.

f. The reason for the amendment screen will now come up. Type in the reason for the amendment and then save.

g. The dropdown list will now appear highlighting every section of the form.

h. Click on only those sections that require amending and modify accordingly. Be sure to amend the applicable parts of the summary page if the cash totals have changed per your amendment.

i. Click on, complete and save the Verification section, and then press the "Continue Filing" button.

j. Click on "Submission- Submit this filing to Secretary of State " on the dropdown list.

k. After previewing the completed amendment form, you can make your submittal by pressing the button below the listing marked "Submit Filing to California Secretary of State.”

l. After successful submittal, print out a copy for your own records.

m. Log off from the application by clicking twice on the tab in the upper right hand corner marked ““END SESSION.”

n. You will now return to the beginning password screen.

o. The amendment process is now completed online.

7. *Question 7 of Section 3:* How do I amend online or electronically filed campaign disclosure statement Form 461, 496, or 497 using Cal-Online?

a. Log on to “Cal-Online” by visiting (https://cafile.ss.ca.gov/CalOnline/) (The Cal-Online logon screen can also be reached by clicking on “Filing Using Cal-Online” under “Political Reform” on the Home Page (http://www.sos.ca.gov/).

b. Select “Reporting” option.

c. Highlight the Form number that needs to be amended.

d. Move highlighted button from "File A New Filing” to "Amend An Existing Filing."

e. Click on button in lower right labeled "Continue Filing." This will take you to a rectangular box labeled "Submitted Filings" that contains a listing of all previous filed electronic statements. Using the downward pointed triangle at the lower right corner of the box scroll down to view all filings. Select the filing you wish to amend by clicking on the button “EDIT” next to the filing description. (Note: Clicking on “VIEW” instead of “EDIT” will allow you to view a copy of a previous filed document without amending such document. You can also print while viewing.) By clicking the “EDIT” button at the appropriate filing you will launch your amendment.

f. Using the pull down menu at the top of the screen labeled "Section" find the sections of the form that need to be amended, key in the changed information, and save.

g. If you are amending Form 461, be sure to amend the summary page if the cash totals have changed per your amendment.

h. Using the pull down menu go to the "Reason for Amendment" section. Fill this out completely indicating what form and filing period you are amending as well as the reason for the amendment. Then save this screen and press the "Continue Filing" button.

i. Now complete and save the Verification section, and then press the "Continue Filing" button. (However, if you are filling out Forms 496 or 497, there will be no verification section to complete. Go to the next step below, instead.)

j. After previewing the completed amendment form and making any required changes, you can make your final submittal by pressing the "Submit Filing to California Secretary of State" button.

k. After successful submittal, print out a copy for your own records.

l. Log off from the application by clicking twice the tab in the upper right hand corner marked “END SESSION.” This will return you to the password screen.

8. *Question 8 of Section 3:* How do I indicate that a contribution is a loan and the amount of the interest, if any, relative to the loan, when using Cal-Online to file Form 497?

You must use the memo field for that specific line item. Indicate in this field that the amount received is a loan. Indicate as well the interest rate percentage for this loan.

9. *Question 9 of Section 3:* How do I change the Statement of Organization or lobbying registration data on the Cal-Access website?

The online or electronic filing of an original or an amended Statement of Organization or lobbying registration does not change the data on the public display of the Cal-Access website. According to law, most lobbying firms and registered lobbyist employers must file their registrations documents both electronically and on paper with the Political Reform Division of the Office of Secretary of State. However, **Statement of Organization and lobbying registration data on the public Cal-Access website is updated by the processing of the actual paperwork, rather than the electronic filing of such documents. In addition, the cover-page information (i.e., the name, responsible officer, etc.) of major donors is updated by processing the actual paperwork rather than the electronic/online filing of Form 461.**

10. *Question 10 of Section 3:* How do I file Form 602 ("Lobbying Firm Activity Authorization") using Cal-Online?

The lobbying firm, rather than the client of the firm, files the Form 602 ("Lobbying Firm Activity Authorization." The lobbying firm also files Form 604 ("Lobbyist Certification Statement"), using the firm's user ID number and password.

11. *Question 11 of Section 3:* How do I make a filing using Cal-Online before completing a previous filing that has been started?

Cal-Online only permits the online filing of one form at a time. If you have work in progress, you must complete that filing and successfully submit it before you can initiate a different filing. If you initiate a different filing, you will lose your work in progress.

12. *Question 12 of Section 3:* How do I view or print a paper copy of my filing using Cal-Online?

If you are having difficulty viewing or printing your Cal-Online filing, the following may be helpful.

a. <u>You Must Have Adobe Reader</u>

Your Cal-Online filing will be displayed in PDF (portable document format). In order to view and print PDF files, you must use Adobe Reader (formerly Acrobat Reader) developed by Adobe Systems. If you don't already have this tool installed in your computer, you may download it free of charge at http://www.adobe.com/products/acrobat/readstep2.html. <u>Be sure to choose the most recent version that is compatible with your computer's operating system.</u>

<u>If you do not have the current version installed on your computer, download and install the current version.</u>

b. <u>You May Have to Disable Your Pop-Up Blocker</u>

The pop-up blocker function found in most Internet browsers may prevent you from seeing and printing your PDF filing using Adobe Reader. To disable your pop-up block if you are using Internet Explorer (formerly Microsoft Internet Explorer), do the following:

(1) Go to the toolbar of your browser. Click on "Tools."

(2) Under "Tools," select "Pop-up Blocker;" then select "Turn Off Pop-up Blocker."

(3) If this still does not let you view and print the filing, a one-at-a-time override (workaround) should be tried. Hold down the CTRL key and keep it depressed as you click on the PREVIEW FILING button or VIEW PAPER COPY button. This may work.

Other products used on your computer may include a pop-up blocker and you may have more than one activated. Each one will need to be deactivated separately. Examples of a few of the many products with pop-up blockers include search engine such as Yahoo! and Google.

c. <u>You May Have to Change Your Internet Explorer Security Settings</u>

If you still cannot see your filing, the problem may be caused by a security setting within Internet Explorer. Do the following:

(1) Go to the toolbar of your browser. Click on "Tools."

(2) Under "Tools," select "Internet Options."

(3) In the "Internet Options" window, select the "Advanced" tab.

(4) Scroll down to the "Security" category.

(5) Find "Do not save encrypted pages to disk." Make sure it is <u>not</u> checked, or deselect it if it is checked.

(6) Click the "Apply" button if you changed the checkbox setting.

(7) Click the "OK" button to return to your browser.

The PDF image of the on-line form should now display on your screen.

If you still cannot view the filing, call the Help Desk for further assistance at 1-877-745-3453 or 916-653-7283.

13. *Question 13 of Section 3:* How do I file a new document using Cal-Online when I log back onto my account and receive the message "The Form xxx [form number] has been submitted?"

If you log back onto Cal-Online in order to file a new document or an amendment, but receive the message "The form xxx [form number] has been submitted" when nothing new has been submitted, then the message screen is a remnant of your last filing. If you look at the "Time submitted" indicator, it will show the date of your last successful filing using Cal-Online. (*See* the answer to Question 4 on Page 86 about "Logging Off Properly" to avoid this problem.)

In order to return to the reporting menu so that the new document may be filed, do the following:

a. Click on the button in the lower left portion of the screen marked "Return To Filing Desk". This should bring you to the start up page that has 3 basic portals marked "My Account," "Reporting," and "Exit Cal-Online."

b. Click on the portal marked "Reporting." This should bring you to the screen labeled "What would you like to do?"

c. You can now choose to "File a New Filing" or "Amend an Existing Filing."

d. If you have more than one form choice, be sure to check the proper form you wish to file or amend.

14. *Question 14 of Section 3:* How do I obtain technical assistance with respect to filing online or

For technical assistance regarding filing online or electronically, call 1-877-745-3453 or 916-653-7283 or e-mail the Political Reform Division by using the online form at http://www.sos.ca.gov/cgi-bin/print_form.cgi. If you are experiencing problems attempting to file electronically using a vendor, confer with the vendor.

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GLOSSARY

$1,000 Online/Electronic Report (Election Cycle Reports) — Candidates for elective state office and committees formed primarily to support or oppose a state ballot measure that receive a contribution of $1,000 or more within 90 days before an election on which they will appear on the ballot must report the contribution online or electronically to the Secretary of State within 24 hours if the filer is required to file regular statements online or electronically. No paper reports are filed. These are often referred to as "$1,000 Online/Electronic Reports," "Election Cycle Reports" or "Twenty-four hour (24-hour) Reports." They are reported using Form 497. They can be accessed on Cal-Access by clicking on Daily/Late/Special Filings. (Government Code sections 85204, 85309)

$5,000 Online/Electronic Report ($5,000+ Filings) — Candidates for elective state office and committees formed primarily to support or oppose a state ballot measure that receive a contribution of at least $5,000 other than during an election cycle (an election cycle begins 90 days before an election) must report the contribution online or electronically to the Secretary of State within 10 business days of receipt if the filer is required to file regular statements online or electronically. No paper reports are filed. These are often referred to as "$5,000 Online/Electronic Reports, "$5,000+ Filings" or "Ten-day (10-day) Reports." They are reported using Form 497. They can be accessed on Cal-Access by clicking on Daily/Late/Special Filings. (Government Code sections 85204, 85309)

Advanced Search — "Advanced Search" allows you to search across all electronic filings in the database. To use this search engine, find the "Advanced Search" link located in the upper left-hand portion of almost any Cal-Access menu page. Click on that link. (Note that if you place your cursor on "Advanced Search," the link will disappear, but click on it anyway.) This will bring up the "California Filings Searchable Database" page. Unlike other sections of Cal-Access, this section of the website will search across all electronic filings in the database instead of returning information from one specific filer. For example, after clicking on the appropriate link, one can enter a contributor's name and can search through all electronic filings in the database to find the information requested. It may take several seconds for a request to be processed since the entire database is searched. There are many other ways to search information in the database as is indicated on the "California Filings Searchable Database" page. The website address is http://dbsearch.ss.ca.gov/.

Approved Vendors or Service Providers — These are individuals or companies that have been approved by the Secretary of State to file campaign and/or lobbyist activity financial reports and statements electronically with Cal-Access. For a list of approved vendors or service providers, visit http://www.sos.ca.gov/prd/approved_vendors.htm.

Ballot Measure Paid Spokesperson — For purposes of the Political Reform Act, a "paid spokesperson," generally, is a person who has received a payment totaling five thousand ($5,000) or more for the purpose of appearing in an advertisement to support or oppose the qualification, passage or defeat of a ballot measure. Form 511 is used for this purpose. The form must be filed by committees making the payment within 10 days of the expenditure. *See* http://www.sos.ca.gov/prd/forms/511.pdf. Click on Daily/Late/Special Filings on the "Campaign Finance" page to access any daily Form 511 filings. (Government Code 84511)

"Behested Payments" — These payments are made at the request of elected officials for legislative, governmental or charitable purposes. They are not considered campaign contributions or gifts. An organization that makes a contribution to a charitable organization at the request of a state legislator makes a "behested payment." While state law limits the amount of campaign contributions and gifts, there are no limits on these "behested" payments. State law only requires the reporting of "behested" payments if they total $5,000 or more per calendar year from a single source. Officials must report specified "behested payments" within 30 days of the date they are made. The reports are filed with the officials' agencies. The agencies then send copies to specified offices. (Government Code section 82015(b)(2)(B)(iii)) Information about some "behested payments" associated with state elected officials is available on the Fair Political Practices Commission's website at http://www.fppc.ca.gov/index.html?id=499.

Cal-Access — Cal-Access is the online system created by the Secretary of State pursuant to state law for receiving and accessing financial information supplied by state candidates, donors, lobbyists, and others. It is located at http://cal-access.sos.ca.gov/. Online or electronic filing is required for campaign entities that have raised or spent $50,000 since January 1, 2000. Lobbying entities must file online or electronically once the total amount of any category of reportable payments, expenses, contributions, gifts or other item is $5,000 or more in a calendar quarter. (Government Code sections 84602 and 84605)

Cal-Access Search — This search option can provide quick access to a filer. Access to it is located in the upper left corner of most Cal-Access menu pages. Enter part of a filer's name or the filer's identification number and click on the word "GO." It may take several seconds to process the request. The search will return a list of all the filers that have the word(s) you entered in their name or the entity with the identification number you entered. From this list, you can get more information on the filer by clicking on the filer's name if a link is provided.

California Filings Searchable Database — *See* "Advanced Search."

Cal-Online — Cal-Online is a web-based, data entry filing system that allows state disclosure statements/reports mandated by California's Political Reform Act to be filed online with the Secretary of State free of charge. The filer must have a valid ID # and password in order to use this free application. The information is then reproduced on the Secretary of State's Cal-Access website for public viewing.
Information regarding Cal-Online can be obtained by visiting https://cafile.ss.ca.gov/CalOnline/. (Government Code section 84602)

Candidate — An individual becomes a candidate under the following circumstances:

- The individual's name is listed on a primary, general, special, or recall election ballot; or
- The individual is qualified to have election officials count write-in votes on his or her behalf for nomination or election to any state or local elective office; or
- The individual receives a contribution or makes an expenditure (or gives consent for any other person to receive a contribution or make an expenditure) for his or her nomination or election to any state or local elective office; or
- The individual is an elected officeholder.

(But individuals running for federal office are not "candidates" under the Political Reform Act.) (Government Code sections 82007 and 84214)

Candidate Intention Statement — This statement (Form 501) must be filed by candidates for state and local elective office prior to the solicitation or receipt of any contribution or expenditure of personal funds used for the election. Candidates for state office must file an original statement, signed under penalty of perjury, with the Secretary of State. There is no provision in the law to electronically file or fax the form. (Government Code section 85200) For a copy of the form, visit http://www.sos.ca.gov/prd/forms/501.pdf.

Committee — "Committee" means any person or combination of persons who directly or indirectly does any of the following:

(a) Receives contributions totaling one thousand dollars ($1,000) or more in a calendar year.

(b) Makes independent expenditures totaling one thousand dollars ($1,000) or more in a calendar year; or

(c) Makes contributions totaling ten thousand dollars ($10,000) or more in a calendar year to or at the behest of candidates or committees.

A person or combination of persons that becomes a committee retains its status as a committee until such time as that status is terminated pursuant to Government Code section 84214. (Government Code section 82013)

Contribution Limits — Individuals and committees that support or oppose state candidates are subject to "contribution limits." For information about "contribution limits," visit http://www.sos.ca.gov/prd/FACTS.pdf and http://www.fppc.ca.gov/bulletin/contribchart.pdf. Information about contribution limits can also be accessed from the "Campaign Finance" page of Cal-Access by clicking on the "Proposition 34 State Candidate and Voluntary Expenditure Limits" link. (http://www.ss.ca.gov/prd/FACTS.pdf).

Controlled Committee — A candidate or state measure proponent controls a committee if he or she has a significant influence on the actions or decisions of the committee. (Government Code section 82016)

Declaration of Candidacy — This document is filed by candidates to qualify for the ballot pursuant to Elections Code sections 8020 and 8040. It is different than the Candidate Intention Statement (Form 501) that must be filed pursuant to Government Code section 85200 in order to solicit or receive campaign contributions or loans.

Election Cycle — "Election Cycle" means one of two different things, depending on the context of its usage.

(a) "Election Cycle" means the period of time beginning 90 days before an election and ending on the date of the election, for purposes of reporting contributions or independent expenditures of $1,000 or more online or electronically pursuant to Government Code sections 85309 or 85500. (Government Code section 85204)

(b) "Election Cycle" means the period beginning January 1 of an odd year and ending December 31 of the following even year, for purposes of viewing campaign contributions and expenditures on Cal-Access. *See*, for example, http://cal-access.sos.ca.gov/Campaign/Candidates/list.aspx?view=incumbent.

Election Cycle Report — Candidates for elective state office and committees formed primarily to support or oppose a state ballot measure that receive a contribution of $1,000 or more within 90 days before an election on which they will appear on the ballot must report the contribution online or electronically to the Secretary of State within 24 hours if the filer is required to file regular statements online or electronically. No paper reports are filed. These are often referred to as "Election Cycle Reports," "Twenty-four hour (24-hour) Reports," or "$1,000 Online/Electronic Reports." They are reported using Form 497. They can be accessed on Cal-Access by clicking on Daily/Late/Special Filings (http://cal-access.sos.ca.gov/Campaign/Other/). (Government Code sections 85204, 85309)

Electioneering Communications — These are communications that promote or criticize a candidate, but do not expressly advocate the election or defeat of the candidate. These are sometimes referred to as "issue advocacy" communications. (*See* "Issue Advocacy" in this "Glossary.") Some "electioneering communications" must be disclosed on Form E-530.

Electronic Filing — An "electronic filing" generally refers to the filing of a campaign or lobbying activity report or statement with Cal-Access by an approved vendor or service provider acting as agent for the filer or by using an authorized vendor's software. This is in contrast to a filer filing a campaign or lobbying activity report or statement with Cal-Access using Cal-Online, the Secretary of State's free software. However, the terms "online" and "electronic" are sometimes used interchangeably. They simply mean that disclosure is made via a computer rather than by filing a paper document.

Form 400 — This form (Statement of Organization (Slate Mailer Organization)) must be filed with the Secretary of State by Slate Mailer Organizations within 10 days of being promised or receiving a payment of $500 or more for the purpose of producing one or more slate mailers. For more information about this form, visit http://www.sos.ca.gov/prd/forms/400.pdf.

Form 401 — This form (Slate Mailer Organization Campaign Statement) must be filed to disclose the activities of "slate mailer organizations." For more information about this form, visit http://www.sos.ca.gov/prd/forms/401.pdf.

Form 402 — This form (Statement of Termination (Slate Mailer Organization)) is used to terminate the filer's ongoing filing obligations. For more information about this form, visit http://www.sos.ca.gov/prd/forms/402.pdf.

Form 410 — This form (Statement of Organization) must be filed with the Secretary of State within 10 days after qualifying as a recipient committee. For more information about this form, visit http://www.sos.ca.gov/prd/forms/410.pdf. (Government Code section 84100)

Form 425 — This form (Semi-Annual Statement of No Activity) is used to declare that no contributions and no expenditures have been received during a six month reporting period. For more information about this form, visit http://www.sos.ca.gov/prd/forms/425.pdf.

Form 450 — This form (Recipient Committee Campaign Statement - Short Form) is used by recipient committees (excluding most candidate controlled campaign committees) that have not received contributions of $100 or more and have no outstanding loans or accrued expenses. It may be used for amending prior Forms 450 filed. For information about this form, visit http://www.sos.ca.gov/prd/forms/450.pdf.

Form 460 — This form (Recipient Committee Campaign Statement) is used to disclose receipt and expenditures as well as the filer's total financial activity for various periodic reports. It is also used as an amendment to update missing or incorrect information on previously-filed reports. For more information about this form, visit http://www.sos.ca.gov/prd/forms/460.pdf.

Form 461 — This form (Major Donor and Independent Expenditure Committee Campaign Statement) is used to disclose contributions and independent expenditures for various periodic reports as well as the business interests of the filer. For more information about this form, visit http://www.sos.ca.gov/prd/forms/461.pdf.

Form 465 — This form (Supplemental Independent Expenditure Report) is used to disclose supplemental independent expenditure information. For more information about this form, visit http://www.sos.ca.gov/prd/forms/465.pdf.

Form 470 — This form (Officeholder and Candidate Campaign Statement – Short Form) is used to declare that the candidate/officeholder has no intention of receiving or spending $1,000 or more in a calendar year. For more information about this form, visit http://www.sos.ca.gov/prd/forms/470.pdf.

Form 470-S — This form (Officeholder and Candidate Campaign Statement (Supplement)) is used by an officeholder or candidate who has previously filed a Form 470 and who later qualifies as a recipient committee (i.e., that the officeholder or candidate has raised or spent $1,000 or more during a calendar year). For more information about this form, visit http://www.sos.ca.gov/prd/forms/470.pdf.

Form 495 — This form (Supplemental Pre-election Campaign Statement) is used to disclose total contributions made in connection with an off-year election. The form is attached to the filer's completed Forms 450 or 460. For more information about this form, visit http://www.sos.ca.gov/prd/forms/495.pdf.

Form 496 — This form (496 Independent Expenditure Report) is used to disclose independent expenditures of $1,000 or more in support or opposition to a candidate or ballot measure. It is used for filings under Government Code sections 84204. The online/electronic version is also used for filings under Government Code sections 84204.5 and 85500. For more information about this form, visit http://www.sos.ca.gov/prd/forms/496.pdf. For more information about online/electronic filings under Government Code sections 84204.5, visit http://www.sos.ca.gov/prd/SMCIE.htm.

Form 497 — This form (497 Contribution Report) is used to disclose late contributions (*see* definition in this "Glossary") received or made during the 16 days before an election under Government Code sections 84203 and 84203.3. It is also used to disclose contributions under Government Code section 85309 and 84204.5. For more information about this form, visit http://www.sos.ca.gov/prd/forms/497.pdf. For more information about online/electronic filings under Government Code sections 84204.5, visit http://www.sos.ca.gov/prd/SMCIE.htm.

Form 498 — This form (Slate Mailer Late Payment Report) is used by slate mailer organizations to disclose receipt of late payments of $2,500 or more from a single source to support or oppose candidates and/or measures in a slate mailer during the 16 days before an election. For more information about this form, visit http://www.sos.ca.gov/prd/forms/498.pdf. (Government Code section 84220)

Form 501 — This form (Candidate Intention Statement) is used to declare one's intention to run for a specific office and is also used by state candidates to accept or reject voluntary spending limits. It must be filed prior to the solicitation or receipt of any contribution or loan. (Government Code section 85200) State candidates file it with the Secretary of State. For more information about this form, visit http://www.sos.ca.gov/prd/forms/501.pdf. (Note that this is a different form than the "Declaration of Candidacy" filed by candidates to qualify for listing on the ballot. *See* Elections Code sections 8020, 8040.)

Form 511 — This form (Paid Spokesperson Report) is used by a committee that makes a payment of $5,000 or more to a spokesperson in connection with ads regarding ballot measures. For more information about this form, visit http://www.sos.ca.gov/prd/forms/511.pdf. (Government Code section 84511)

Form E-530 — This form (Electronic Issue Advocacy Report) is an online-only form used to disclose payments for a communication that promotes or criticizes a state candidate, but does not expressly advocate the election or defeat of the candidate. These are sometimes referred to as "Electioneering Communications." For more information about this form, visit https://cafile.ss.ca.gov/e530/login.asp. (Government Code section 85310)

Form 601 — This form (Lobbying Firm Registration Statement) is used to register or renew the registration of a lobbying firm or individual contract lobbyist. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_601.pdf.

Form 602 — This form (Lobbying Firm Activity Authorization) is used to authorize a lobbying firm to lobby on another's behalf. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_602.pdf.

Form 603 — This form (Lobbyist Employer or Lobbying Coalition Registration Statement) is used to register or renew the registration of a lobbyist employer or coalition that has at least one registered in-house lobbyist. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_603.pdf.

Form 604 — This form (Lobbyist Certification Statement) is used by an individual who qualifies as a lobbyist. It is attached to either Form 601 or Form 603. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_604.pdf.

Form 605 — This form (Amendment to Registration, Lobbying Firm, Lobbyist Employer, Lobbying Coalition) is used to amend any previously filed registration information. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_605.pdf.

Form 606 — This form (Notice of Termination) is used by the filer who has ceased all lobbying activity and now wishes to terminate a filed registration or certification statement. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_606.pdf.

Form 607 — This form (Notice of Withdrawal) is used to withdraw a filed registration statement of a firm that has never met the statutory definition of a lobbying firm. It is also used by a lobbyist who has never met the statutory definition of a lobbyist. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_607.pdf.

Form 615 — This form (Lobbyist Report) is used by a lobbyist to disclose quarterly activity. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_615.pdf.

Form 625 — This form (Report of Lobbying Firm) is used by a lobbying firm to disclose quarterly activity. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_625.pdf.

Form 630 — This form (Payments Made to Lobbying Coalition) is used by a lobbying coalition to disclose quarterly activity. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_630.pdf.

Form 635 — This form (Report of Lobbyist Employer and Report of Lobbying Coalition) is used to disclose quarterly lobbying activity. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_635.pdf.

Form 635-C — This form (Payments Received by Lobbying Coalition) is an attachment filed with Form 635 which discloses all payments received from the members of the coalition. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_635-C.pdf.

Form 640 — This form (Governmental Agencies Reporting of "Other Payments to Influence Legislative or Administrative Action") is used by a state or local governmental agency which qualifies as a registered lobbyist employer (or $5,000 filer) or non-registered lobbyist employer. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_640.pdf.

Form 645 — This form (Report of Person Spending $5,000 or More to Influence Legislative or Administrative Action) is used to disclose quarterly activity of a $5,000 filer. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_645.pdf.

Form 690 — This form (Amendment to Lobbying Disclosure Report) is used by the filer to amend any information previously submitted on a quarterly disclosure report. For more information about this form, visit http://www.sos.ca.gov/prd/forms/form_690.pdf.

Form 900 — This form (Public Employees' Retirement Board Candidate Campaign Statement) is used by PERS candidates to disclose contributions received and payments made. For more information about this form, visit http://www.sos.ca.gov/prd/forms/900.pdf.

Form PRD-1 — This form (Request for Waiver of Liability) is used to request the waiver for "good cause" of fines assessed for late filing of statements or reports. To obtain a copy of this form, visit http://www.sos.ca.gov/prd/forms/form_prd-1.pdf. To learn more about the process for requesting a waiver of fines including "good cause" reasons for waving late filing fees, visit http://www.sos.ca.gov/prd/campaign_info/filing_requirements/waiver_good_cause.htm

Independent Expenditure — "Independent expenditure" means an expenditure made by any person in connection with a communication that expressly advocates the election or defeat of a clearly identified candidate or the qualification, passage or defeat of a clearly identified measure or, when taken as a whole and in context, unambiguously urges a particular result in an election, but which is not made to or at the behest of the affected candidate or committee. This is often contrasted with "Issue Advocacy." (Government Code section 82031)

Independent Expenditure Electronic Filings — A committee that qualifies as a state online or electronic filer, including recipient, independent expenditure, major donor and political party committees, must file online or electronically with the Secretary of State within 24 hours of making an independent expenditure of $1,000 or more during an election cycle (within 90 days of the election) in connection with a candidate for elective state office or a state ballot measure. Form 496 is used for this purpose. *See* http://www.sos.ca.gov/prd/forms/496.pdf. (Government Code section 85500)

Issue Advocacy — For purposes of the Political Reform Act, "issue advocacy" is a communication that clearly identifies a candidate for elective state office, but does not expressly advocate the election or defeat of the candidate and that is disseminated, broadcast, or otherwise published within 45 days of an election. Any person who makes a payment or a promise of payment totaling $50,000 or more for "issue advocacy" must file online with the Secretary of State information disclosing the name of the person, address, occupation, employer, and amount of the payment. The report must be filed within 48 hours of making the payment or the promise to make the payment. If the payment was made at the request of the clearly identified candidate, the contribution limits apply. Required "issue advocacy" reports are filed using Form E-530. For more information regarding the filing of Form E-530 regarding "issue advocacy," visit: http://www.sos.ca.gov/prd/campaign_info/forms_instructions/compend_camp_forms.htm or https://cafile.ss.ca.gov/e530/login.asp. (Government Code section 85310, 2 California Code of Regulations section 18539.2)

Late Contribution — A "late contribution" means:

(a) Any contribution, including a loan, that totals in the aggregate one thousand dollars ($1,000) or more that is made to or received by a candidate, a controlled committee, or a committee formed or existing primarily to support or oppose a candidate or measure before the date of the election at which the candidate or measure is to be voted on but after the closing date of the last campaign statement required to be filed before the election; or

(b) Any contribution, including a loan, that totals in the aggregate one thousand dollars ($1,000) or more that is made to or received by a political party committee, including a county central committee, before the date of any state election, but after the closing date of the last campaign statement required to be filed before the election.

A candidate or committee that makes or receives a "late contribution" must report it within 24 hours of making or receiving the "late contribution" to each office with which the candidate or committee is required to file its next campaign statement. Form 497 is used to report "late contributions." Filers required to file their regular statements online or electronically, must report any required "late contribution" reports online or electronically. (Government Code sections 82036, 84203 and 84605)

***See* "Note" on Pages 20, 23, 32, 37, 39, and 44 for definition of "Late" as used in Cal-Access.**

Some Late Contribution Reports filed with the Secretary of State on paper pursuant to Government Code section 84203(b) are scanned and posted in PDF on Cal-Access and may be viewed by clicking on the sixth bullet at Daily/Late/Special Filings (http://cal-access.sos.ca.gov/Campaign/Other/). (Note that the "late contribution report" requirement does not apply to committees that have reported the contribution pursuant to subdivisions (a) or (b) of Government Code section 85309. (Government Code section 84203(e).)

Late Independent Expenditure — A "late independent expenditure" means any independent expenditure which totals in the aggregate one thousand dollars ($1,000) or more and is made for or against any specific candidate or measure involved in an election before the date of the election but after the closing date of the last campaign statement required to be filed prior to the election by a candidate or committee participating in such election. A committee that makes a "late independent expenditure" must report it within 24 hours to each office with which the candidate or committee is required to file its next campaign statement. Form 496 is used to report "late independent expenditure." Filers required to file their regular statements online or electronically, must report any required "late independent expenditure" reports online or electronically. (Government Code sections 82036.5, 84204 and 84605)

***See* "Note" on Pages 20, 23, 32, 37, 39, and 44 for definition of "Late" as used in Cal-Access.**

Late Independent Expenditure Reports filed with the Secretary of State on paper pursuant to Government Code section 84204(a) are scanned and posted in PDF on Cal-Access and may be viewed by clicking on the sixth bullet at Daily/Late/Special Filings (http://cal-access.sos.ca.gov/Campaign/Other/).

Late Payment Report — If a slate mailer organization receives a payment of two thousand five hundred dollars ($2,500) or more for purposes of supporting or opposing any candidate or ballot measure in a slate mailer, and the payment is received at a time when, if the payment were a contribution it would be considered a "late contribution" (during the 16 days prior to the election), then the slate mailer organization must report the payment in the manner set forth in Section 84203 for candidates and committees when reporting late contributions received. The slate mailer organization shall, in addition to reporting the information required by Section 84203, identify the candidates or measures whose support or opposition is being paid for, in whole or in part, by each late payment. (Government Code section 84220)

Some Late Payment Reports filed with the Secretary of State on paper pursuant to Government Code sections 84220 and 84203(b) are scanned and posted in PDF on Cal-Access and may be viewed by clicking on the sixth bullet at Daily/Late/Special Filings (http://cal-access.sos.ca.gov/Campaign/Other/).

Legislative Session — "Legislative Session" refers to the two-year period of time the State Legislature is in session. Technically, the period ordinarily begins in December of even-numbered years when the State Legislature convenes following the statewide general election and ends when the State Legislature adjourns the following even- numbered year prior to the statewide general election. For purposes of Cal-Access, the "legislative session" is identified as the entire odd-numbered year following by the next even-numbered year. For example, 2007-2008 refers to the "legislative session" that began in December 2006 and ends in 2008 prior to the 2008 General Election.

Lobbyist — For purposes of the Political Reform Act, a lobbyist is an individual who is compensated (other than reimbursement for reasonable travel expenses) for directly communicating with a qualifying official (other than administrative testimony) when trying to influence legislative or administrative action (such as bills and regulations.) Not everyone who is paid to lobby will qualify as a lobbyist. There are two tests to make this determination: a time test for "in-house lobbyists" and a compensation test for "contract lobbyists."

(b) An “in-house lobbyist” is an individual who lobbies on behalf of his or her employer only. They are compensated for the time and he or she spends at least one-third of the time in a calendar month in direct communication with qualifying officials.

(c) A “contract lobbyist” is an individual who lobbies for someone other than his or her employer and receives or is entitled to receive $2,000 in a calendar month for direct communication with qualifying officials.

(Government Code section 82039, 2 California Code of Regulations section 18239)

Lobbyist Employer — A “lobbyist employer” is any individual, business entity, association, local governmental agency, or other organization, other than a lobbying firm, that:

(a) directly employs an in-house lobbyist to influence or attempt to influence legislative or administrative action; or

(b) retains a lobbying firm to engage in direct communication for the purpose of influencing or attempting to influence legislative or administrative action.

(Government Code section 82039.5)

Lobbying Firm — A “lobbying firm” is an individual (other than an in-house lobbyist) or a business entity that is compensated (other than reimbursement for reasonable travel expenses) for directly communicating with a qualifying official (other than administrative testimony) when trying to influence legislative or administrative action (such as bills and regulations).

An individual may qualify as a lobbying firm in two ways:

(a) The individual is a lobbyist compensated for lobbying on behalf of someone other than the individual’s employer (such as independent contractors); or

(b) The individual is a lobbyist compensated for lobbying on behalf of the individuals and someone else.

A business entity may qualify as a lobbying firm in two ways:

(a) It receives or is entitled to receive compensation for lobbying and a least one employee, partner, owner, or officer is a lobbyist; or

(b) It receives at least $5,000 in a calendar quarter for lobbying and at least one employee, partner, owner, or officer directly communicates on behalf of a client (even if no one in the firm is a lobbyist).

(Government Code section 82038.5, 2 California Code of Regulations section 18238.5)

Major Donor — "Major donor" refers to a "committee" defined by Government Code section 82013(c). This is a person or combination of persons who directly or indirectly makes contributions totaling ten thousand ($10,000) or more in a calendar year to or at the behest of candidates or committees. A "major donor" must file semi-annual statements no later than July 31 and January 31 and may be required to file late contribution reports and late independent expenditure reports. A "major donor" may also be required to file "Odd-Numbered Year Reports" pursuant to Government Code section 84202.7. The statements and reports may have to be filed online or electronically. (Government Code sections 82013(c), 84203, 84204, 84605 and 85500)

Mass Mailing — For purposes of the Political Reform Act, a "mass mailing" means over two hundred substantially similar pieces of mail, but does not include a form letter or other mail that is sent in response to an unsolicited request, letter or other inquiry. (Government Code section 82041.5 and 2 California Code of Regulations sections 18435 and 18901)

Measure — "Measure" means any proposition which is submitted to the voters by a legislative body or which is submitted or is intended to be submitted to the voters pursuant to the initiative, referendum or recall procedure. (Government Code section 82043)

Odd-Numbered Year Report — With some exceptions, during an odd-numbered year, committees that make contributions totaling $10,000 or more to elected state officers, their controlled committees, including controlled ballot measure committees, or committees primarily formed to support or oppose any elected state officer from January 1 through March 31 and from July 1 through October 31, must file statements by the end of the calendar month following the end of the period. (Government Code section 84202.7)

Online Filing — An "online filing" generally refers to the filing of a campaign or lobbying activity statement or report with Cal-Access by using Cal-Online, the Secretary of State's free software. This is contrasted to "electronic filing" using the services of an approved vendor or service provider. However, the terms "online" and "electronic" are sometimes used interchangeably. They simply mean that disclosure is made via a computer rather than by filing a paper document.

Payments to Influence Legislative or Administrative Action — These are payments made for the purpose of communicating directly or taking any other action for the principal purpose of supporting, promoting, influencing, modifying, opposing, delaying, or advancing any legislative or administrative action. (Government Code section 82045)

PDF/pdf — "PDF" or "pdf" refers to "Portable Document Format" created by Adobe Systems Incorporated. The format is ordinarily "read only" meaning that viewed images cannot be changed by the user. Cal-Access creates PDF-type views of forms that are populated with data filed online or electronically. (Some Forms 496, 497 and 498 filed on paper are scanned and posted in PDF on Cal-Access.)

Political Party Committee — A "political party committee" means the state central committee or county central committee of an organization that is recognized as a political party pursuant to Elections Code section 5100. To determine which organizations are recognized as political parties, visit: http://www.sos.ca.gov/elections/elections_f.htm. **Note that the definition includes "county central committee" which means that a county central committee *may* have filing obligations pursuant to Government Code section 84200.5(f) with respect to special state elections even though the committee is not involved with that election. (Government Code section 85205)**

Preelection Statements — These are statements required to be filed in connection with an election by certain elected officers, candidates, and committees. First pre-election statements are ordinarily required to be filed no later than 40 days before the election (for the period ending 45 days before the election). The second pre-election statements are ordinarily required to be filed no later than 12 days before the election (for the period ending 17 days before the election.) (Government Code sections 84200.5, 84200.7, 84200.8)

Primarily Formed Committee — A "primarily formed committee" means a recipient committee that is formed primarily to support or oppose a single candidate, a single measure or a group of specific candidates or measures. (Government Code section 82047.5)

Radio Button — A "radio button" in Cal-Access is a round circle representing a choice among options. It looks like the first example below. By pointing and clicking on the radio button, you can select the option offered. When selected, a "dot" will appear in the center of the circle as illustrated below in the second example.

 First example — unselected radio button

Second example — selected radio button

Recipient Committee — A "recipient committee" means any person or combination of persons that receives contributions totaling $1,000 or more in a calendar year for purposes of influencing local and/or state elections. (Government Code section 82013(a))

Semi-annual Statements — These are financial statements filed by most campaign committees, including independent expenditure committees and major donor committees. They are due no later than July 31 for the period from January 1 through June 30 and no later than January 31 for the period from July 1 through December 31. (Government Code section 84200)

Slate Mailer — A "slate mailer" means a mass mailing that supports or opposes a total of four or more candidates or ballot measures. (Government Code section 82048.3)

Slate Mailer Organization — A "slate mailer organization" is, generally, an entity that receives or is promised payments totaling five hundred dollars ($500) or more in a calendar year for the production of one or more slate mailers. (Government Code section 82048.4)

Small Contributor Committee — A "small contributor committee" is a committee that has been in existence for at least six months, receives contributions from 100 or more persons, no contributor has given more than $200 per calendar year to the committee, and the committee makes contributions to five or more candidates. Different contributions limits apply to "small contributor committees" (Government Code sections 85203 and 85302 — http://www.fppc.ca.gov/bulletin/contribchart.pdf and http://www.sos.ca.gov/prd/FACTS.pdf)

Supplemental Preelection Statement — Certain candidates and recipient committees are required to file "supplemental preelection statements" in connection with an election in which $10,000 or more is contributed by the candidate or committee when pre-elections statements are not required to be filed. The statement is ordinarily required when information has not been reported previously. The statement is due 12 days before the election for the period ending 17 days before the election. (Government Code section 84202.5)

Ten-day (10-day) Report — Candidates for elective state office and committees formed primarily to support or oppose a state ballot measure that receive a contribution of at least $5,000 other than during the election cycle (an election cycle begins 90 days before an election) must report the contribution online or electronically to the Secretary of State within 10 business days of receipt if the filer is required to file regular statements online or electronically. No paper reports are filed. These are often referred to as "Ten-day (10-day) Reports," "$5,000 Online/Electronic Reports" or "$5,000+ Filings." They are reported using Form 497. They can be accessed on Cal-Access by clicking on Daily/Late/Special Filings (http://cal-access.sos.ca.gov/Campaign/Other/). (Government Code sections 85204, 85309)

Twenty-four hour (24-hour) Report — Candidates for elective state office and committees formed primarily to support or oppose a state ballot measure that receive a contribution of $1,000 or more within 90 days before an election must report the contribution online or electronically to the Secretary of State within 24 hours if the filer is required to file regular statements online or electronically. No paper reports are filed. These are often referred to as "Twenty-four hour (24-hour) Reports," "$1,000 Online/Electronic Reports" or "Election Cycle Reports." They are reported using Form 497. They can be accessed on Cal-Access by clicking on Daily/Late/Special Filings (http://cal-access.sos.ca.gov/Campaign/Other/). (Government Code sections 85204, 85309)

Umberg Filings — These online/electronic filings are those required by Government Code section 84204.5. This section, which was added by Statutes of 2006, Chapter 438 (AB 1759-Umberg), requires a recipient committee that is subject to online/electronic filing obligations to file online or electronically with the Secretary of State each time it makes contributions or independent expenditures totaling five thousand dollars ($5,000) or more to support or oppose the qualification or passage of a single state ballot measure. The report must be filed within 10 business days of making the contribution or independent expenditure using Form 497 for contributions and Form 496 for independent expenditures. (*See, also,* 2 California Code of Regulations section 18466.) For more information about online/electronic filings under Government Code sections 84204.5, visit http://www.sos.ca.gov/prd/SMCIE.htm. (Note: During the 16 days before a state election, these online-only ballot measure reports are superseded by the requirements to file Late Contribution Reports and Late Independent Expenditure Reports.)

Voluntary Spending Limits — Candidates for state office may accept "voluntary spending limits." Acceptance of the limits entitles the candidate to purchase space in the ballot pamphlet to include a statement. Form 501 is used to accept or reject voluntary spending limits. For more information regarding the voluntary spending limits, visit http://www.sos.ca.gov/prd/FACTS.pdf and http://www.fppc.ca.gov/bulletin/contribchart.pdf. Information about "voluntary spending limits" can also be accessed from the "Campaign Finance" page of Cal-Access by clicking on the "Proposition 34 State Candidate and Voluntary Expenditure Limits" link (http://www.ss.ca.gov/prd/FACTS.pdf). (Government Code sections 85400 and 85601)

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